R·M·I·C·C
RECORDS MANAGEMENT INTERAGENCY
COORDINATING COUNCIL

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http://rmicc.state.tx.us/members.html

October 26, 2012

The Honorable Rick Perry
The Honorable David Dewhurst

The Honorable Joe Straus
Members of the Texas Legislature

Subject: Records Management Interagency Coordinating Council's Biennial Report

Ladies and Gentlemen:

The Records Management Interagency Coordinating Council (RMICC) is required by §441.203 of the Government Code to report on records management issues. RMICC consists of the Attorney General, Comptroller of Public Accounts, State Auditor, Secretary of State, Executive Director of the Department of Information Resources, Director and Librarian of the State Library and Archives Commission or their designees, and three auxiliary members: one faculty member of a public senior college or university and two individuals who serve as information resources managers for state agencies in the executive branch of government.

Enclosed is a copy of RMICC's biennial report that includes an executive summary on page 1.

Please call on us if you require further information on the findings or other material included in this report, or if you have questions about the report's recommendations.

Sincerely,

Peggy D. Rudd

Peggy D. Rudd, Chair
Texas State Library and Archives Commission (permanent, voting member)
Director and Librarian

Cathy Hartman
University of North Texas (auxiliary, voting member)
Associate Dean of Libraries

Julie Leung
State Auditor's Office (permanent, non-voting member)
Audit Research Specialist

Hope Morgan
Health and Human Services Commission (auxiliary, voting member)
Information Resources Manager

Dan Procter
Office of the Secretary of State (permanent, voting member)
Texas Register Director

Stephen Quick
Office of the Comptroller of Public Accounts (permanent, voting member)
Records Management Officer

Lori Person
Department of Information Resources (permanent, voting member)
Chief Administrative Officer

Margaret Hermesmeyer
Office of the Attorney General (permanent, voting member)
Division Manager and Records Management Officer

Dan Julien
Texas Historical Commission (auxiliary, voting member)
Information Technology Coordinator

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Biennial Report 2011–2012

October 2012

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RECORDS MANAGEMENT INTERAGENCY
COORDINATING COUNCIL

Biennial Report 2011–2012

Council Members and Delegates

Chair, Peggy D. Rudd, Director and Librarian
Texas State Library and Archives Commission
Representing the Texas State Library and Archives Commission

Dan Procter, Texas Register Director
Office of the Secretary of State
Representing the Secretary of State

Lori Person, Chief Administrative Officer
Department of Information Resources
Representing the Department of Information Resources Executive Director

Margaret Hermesmeyer, Division Manager and Records Management Officer
Office of the Attorney General
Representing the Attorney General

Stephen Quick, Records Management Officer
Office of the Comptroller of Public Accounts
Representing the Comptroller of Public Accounts

Julie Leung, Audit Research Specialist
Texas State Auditor's Office
Representing the State Auditor as a non-voting member

Cathy Hartman, Associate Dean of Libraries
University of North Texas
Representing Texas universities as auxiliary voting member

Hope Morgan, Director of Technology Research
Health and Human Services Commission
Serving as auxiliary voting member

Dan Julien, Information Technology Coordinator
Texas Historical Commission
Serving as auxiliary voting member

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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 2011-2012 reporting period, the Council completed a multiyear research project that included an assessment of electronic records practices of state agencies and universities. The result of the project was the Best Practices Committee Report, included as Appendix A of this report.

Best Practices Committee

The Committee on Best Practices for Managing Digital Information, or Best Practices Committee (BPC), included nearly 30 records managers, archivists, technical specialists and other professionals from state agencies and universities throughout Texas. Segmenting as three workgroups, they spent more than a year researching key issues in managing electronic records, email and social media. The BPC document consists of four parts:

- Electronic Records Management Workgroup Report
- Email Management Workgroup Report
- Social Media Management Workgroup Report
- Abstract of results from BPC's Electronic Records Management Survey of subject-matter experts throughout the state

The Committee offered several key recommendations to improve electronic records management programs for Texas state agencies and universities:

To the Legislature

- Add resources to the Texas State Library and Archives Commission (TSLAC) to assist other state entities in managing electronic records of all types
- Ensure long-term access to electronic archives

Both recommendations could be addressed with legislative support of the Texas State Library and Archives Commission's LAR Exceptional Item Request, *Preservation and Access Critical Needs – Texas Electronic Records Archive*. (See Appendix D.)

This Exceptional Item Request would provide funding to train existing TSLAC staff in current e-records practices and to hire two electronic records specialists to establish and manage an archival repository to house permanently valuable electronic records of state agencies. These specialists would work with the Department of Information Resources, the Governor's Office, the Legislature, the Records Management Interagency Coordinating Council and key state agencies to plan for an enterprise electronic records management program that meets the needs of all state agencies.

The two recommendations would enable the next steps in identifying solutions for managing the explosion of information contained in a plethora of electronic systems throughout the state. TSLAC's staff has been providing basic electronic records management training for a number of years to a wide audience around the state, including over 4,100 attendees at events in the past two years. (See Appendix C.) However, to move beyond the basics and offer practical applications and more advanced guidance, RMICC members agree with the committee's assessment of the need for additional resources and expertise.

To state agencies

- Improve strategic organizational alignment of records management program
- Develop electronic records management partnerships
- Develop compliance monitoring and enforcement capability

To TSLAC

- Provide Records Management Officers (RMOs) with a training program similar to the one from the Department of Information Resources for Information Resources Managers (IRMs)

Technology changes rapidly. Often, by the time we embrace and understand new technology, it has already changed or become obsolete. This creates challenges for records management, archives and information technology to address key issues such as what constitutes an electronic record, how long it needs to be kept and how it can be preserved or accessed in the future. Presently, there are no common languages or skill sets available to address these issues in timely, cost effective and efficient ways.

Agencies are interested in managing electronic records effectively, but there is a constant struggle as they lack adequate support, staff and funding to do so. The four recommendations offer some ways agencies can build a framework within their organization to begin defining problems and creating solutions to meet their specific needs.

University Records Management Committee

In addition to the Best Practices Committee, RMICC established a second subcommittee, the University Records Management Committee (URMC). A summary of their committee work can be found in Appendix B of this report.

The URMC group was established to:

- analyze the status of records management programs in Texas' higher education institutions, while serving as a forum for strengthening communication and encouraging collaboration among records management professionals
- investigate 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 as well as the assessment and strengthening of existing programs in higher education institutions within Texas, and
- make recommendations to the State and Local Records Management Division of the Texas State Library and Archives Commission (TSLAC)

Since its formation, the URMC has made substantial progress on two critical projects which provide the framework for developing standards and useful tools for all records managers in Texas public universities: the Baseline Assessment Questionnaire for University Records Management Programs (BAQ) and the preliminary draft of the State of Texas University Records Retention Schedule (URRS).

The Baseline Assessment Questionnaire helped the URMC gauge the implementation status of records and information management programs within the universities and/or university systems. Once completed, the BAQ produced nine areas upon which the URMC will concentrate. These are referred to as the URMC Strategic Directions.

The Records Management Assistance (RMA) unit of the Texas State Library and Archives Commission and the URMC Steering Group are continuing work on the development of the Texas State Universities Records Retention Schedule (URRS). A draft of the URRS has been developed and has been benchmarked against applicable laws, the existing Texas State Records Retention Schedule, applicable local government retention schedules and guidelines of the American Association of Collegiate Registrars and Admissions Officers (AACRAO).

By the end of 2012, the URRS will be reviewed by all URMC members. Upon completion of this review, the URRS will be presented to RMICC for approval and

a motion to present to the Texas State Library and Archives Commission for final review and adoption. Although the schedule is being developed for state institutions of higher education, private academic institutions will be able to use this valuable tool to manage their own records.

This biennial report details RMICC's activities, findings and recommendations. We encourage you to review the full report and appendices for more details regarding the work of the council and subcommittee recommendations of this biennial report.

Part II: Background of RMICC

Composition, Charges and Mission

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.

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 eighteen years, RMICC, with the help of state agencies and state universities, has published biennial reports and:

- Electronic Records Research Report (1998)
- Electronic Records Management in Texas Government Survey Report (2003)
- Records Management Officer Job Guidelines (2008)
- Best Practices Committee and University Records Management Committee Reports (2010)
- Best Practices Committee Report with Records Management Survey Abstract and University Records Management Committee Report (2012)

These publications are available on the council's website at 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 and microfilming. The commission also works with agencies using Council on Competitive Government 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 from long ago as well as those records being created today. The State Archives provides access to archival materials for educators, students, researchers, government and others.

- The Department of Information Resources is the technology expert, providing administrative rules as well as the power 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 have been a major focus for RMICC for more than a decade. 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 2012. The Council will continue to study electronic records management at state agencies and make future recommendations to the legislature.

Part III: Recommendations: Best Practices Committee Report

The Best Practices Committee worked in three workgroups over the last biennium: electronic records management, social media and email management. The complete report is attached as Appendix A. Of the nine issues suggested by the Electronic Records Management Workgroup, six are key recommendations from the report. Two recommendations advocate legislative action or support, and the other recommendations offer advice on how agencies can strengthen electronic records management within their agency.

The Best Practices Committee also surveyed subject matter experts about the state of electronic records management in Texas. Data from this survey helped to shape the recommendations in the committee report.

Electronic Records Management Survey Abstract

Texas state agencies struggle with electronic records management and have requested help from TSLAC. Eighty-eight out of 160 agencies responded to the survey for a very respectable 55 percent response rate. In order to provide this help, TSLAC needs to build its capacity to provide assistance with additional funding and human resources. Overall, the report shows that electronic records management is a necessary function that does not have adequate support from state agency management, does not have enough resources (people, funding), operates separately from IT, and lets users independently decide record status.

Many of the responding agencies have rudimentary electronic records programs in place, but many do not yet have policies established. Email is most problematic because of volume and retention variations. Social media is being addressed, but not managed, by all agencies.

Recommendations to the Legislature

Resources for the Texas State Library and Archives Commission

Increase authorized full-time employees and budget for TSLAC. This will enable additional training and preparation of model materials for state agencies' records management programs. Also, provide funds to a) train existing TSLAC staff in basic e-records management in order to build the agency's capacity for assistance to state agencies and b) hire TSLAC electronic records specialists to work with partner agencies to establish an

archival repository to house permanently valuable electronic records of state agencies.

Long-term Access and Archives

Texas needs to establish electronic records management guidance for state agencies, with accepted standards for file formats, storage options and other elements. This would provide guidance to state agencies on managing their electronic records and stability in the whole electronic records management process. Concurrent with this plan, the State should create a repository for preserving archival electronic records, with the Texas State Library and Archives Commission working in partnership with other agencies to lead the effort.

Recommendations for State Agencies to Strengthen Electronic Records Management

Strategic Organizational Alignment

Records management programs at agencies and universities should be aligned with the compliance office or with a similar department having the authority and resources to reach the entire agency or university.

Electronic Records Management Partnerships

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.

Compliance Monitoring and Enforcement

Each agency records management program should develop metrics and report progress toward goals. This should be a routine report for agency executives and staff. Records management should partner with information technology in the development stage of projects and systems and should align their agency strategic plans with the Department of Information Resources' State Strategic Plan regarding records management issues that impact IT. To aid this effort, RMICC or TSLAC could develop sample metrics for agencies to adopt for this purpose.

Recommendations for TSLAC to Establish Training Program for Records Management Officers

Training Requirements for Records Management Officers

TSLAC offers a robust and varied optional training program for all levels of state and local government staff. However, it is unknown what percentage of agency RMOs attend any of these classes or if they ever attend additional records management training in specific topics. TSLAC should create a mandatory initial and continuing education program to track the training of records management officers as authorized by Government Code 441.182(e)(3). Many excellent classes and webinars from TSLAC, ARMA, AIIM, and others could fulfill the requirements.

This program might emulate the Department of Information Resources' information resource manager training requirements. IRMs must complete certain core training requirements within the first two years after appointment. Then IRMs must accumulate a set number of continuing education hours in specific topics each fiscal year. DIR does not create and provide all of the training opportunities that can qualify.

Part IV: RMICC Support of TSLAC for Exceptional Item Request

The Records Management Interagency Coordinating Council fully supports TSLAC's Exceptional Item Request for funding in the next biennium to acquire the expertise for a much-needed Texas Electronic Records Archive. Managing the increasing volume of electronic records created by state agencies will require dedicated resources and staff who can focus on the issues and find economically feasible solutions.

Exceptional Item Request – Preservation and Access Critical Needs – Texas Electronic Records Archive

This request is for funding two full-time Electronic Records Specialists. These specialists would help lay the foundation for future training, providing guidance on enterprise-wide records management systems and finding solutions for preserving the digital heritage of Texas.

The State Archives' cannot currently receive electronic archival records in their original format. This inability to accept electronic records shifts the financial burden to individual agencies to preserve their own electronic archival records until such time as TSLAC can accept the records into a centralized Texas Electronic Records Archive. Such a financial burden is a hidden cost in individual

agency budgets. Centralizing these records would be more cost effective and offer greater protection for the historically significant documents important to historians, researchers and citizens of the State of Texas.

Concerns about technology obsolescence, lack of migration strategies and media fragility are among the reasons that this is an urgent need. State agencies want guidance to manage or preserve born-digital or stored-digital records with long-term value. Agencies are often overwhelmed by their volume of electronic information and have a tendency to focus on short-term goals to meet immediate needs and defer decisions on long-term preservation to a later date.

TSLAC lacks the necessary resources to alleviate their burden and to appraise, accession, preserve and provide access to archival state records in electronic formats. It is time to move beyond the theoretical and begin to address the practical application of managing electronic records. In order to make an impact, experienced professionals with the requisite knowledge, skill and experience are needed to lay the foundation for future training, to provide guidance on building enterprise-wide records management systems and to find solutions for preserving the digital heritage of Texas.

Public access to government records is a vital component of accountability and transparency. To ensure compliance, funding for both records education and preservation is essential. Access and preservation go hand-in-hand. Lack of appropriate record keeping puts state agencies at risk of being unable to carry out their missions, protect state and citizens' rights and be accountable to Texans. State agencies create many records that exist in electronic format only, and seek more focused and detailed guidance about how to manage those records.

Recommendation to the Legislature: Exceptional Item Request

The Records Management Interagency Coordinating Council recommends the Texas Legislature provide the requested funds to TLSAC for this urgent request for Preservation and Access Critical Needs to take the first steps necessary to create a Texas Electronic Records Archive.

Review of Electronic-Records Management Practices at Texas State Agencies and Institutions of Higher Education

Records Management Interagency Coordinating Council,
Committee on Best Practices for Managing Digital Information

September 2012

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Introduction

The Committee on Best Practices for Managing Digital Information, or Best Practices Committee (BPC), is pleased to present this report to RMICC and Texas Legislators. Our committee includes nearly 30 records managers, archivists, technical specialists and other professionals from state agencies and universities throughout Texas. Segmenting as three workgroups, we have spent more than a year researching key issues in managing electronic records, email and social media. This document summarizes our findings, and consists of four parts:

1. Electronic Records Management Workgroup Report
2. Email Management Workgroup Report
3. Social Media Management Workgroup Report
4. Abstract of results from BPC's Electronic Records Management Survey of subject-matter experts throughout the state

Overall, our findings show that the volume of electronic records in various applications is expanding rapidly over time, and management of the records lags behind available technology. We find that electronic records management (ERM) including email and social media management, face escalating problems that are not adequately supported by current practices, professional skill sets, placement and strategic planning.

As a result, this committee offers the following key recommendations to improve electronic records management programs for Texas state agencies and universities:

1. Improve strategic organizational alignment.
2. Develop electronic records management partnerships.
3. Ensure long-term access to electronic archives.
4. Develop compliance monitoring and enforcement capability.
5. Provide Records Management Officers with training similar to that for Information Resources Managers (IRMs).
6. Add resources to the Texas State Library and Archives Commission to assist other state entities in managing electronic records of all types.

Recommendation 1 is designed to place records management programs under the compliance office or similar program area that follows selected standards and requirements. The purpose of this placement is to monitor adherence to legal requirements and internal policies for records management, as well as to prevent breaches of information.

It is further recommended that staffing and funding be increased to provide assistance to state agencies and universities to support recommendations 2, 3, 4, 5 and 6.

Regarding recommendation 5, The Information Resources Manager (IRM) training includes building skill sets to help them meet the challenges of rapidly changing technology and to effectively utilize information resources within their agencies.

The Best Practices Committee also recommends that the skill set for Records Management Officers be evaluated and updated to ensure that these professionals are meeting their agencies' needs. The Texas State Library and Archives Commission is already authorized to provide this training as part of Government Code, and is willing to assume this responsibility.

The Best Practices Committee appreciates this opportunity to inform Texas' leaders of the increasing challenges of electronic records management and their potential solutions. We also thank the following professionals for their participation in this committee and its associated workgroups:

E-records Management Workgroup	Social Media Management Workgroup
Nanette Pfiester (Leader)	Sarah Jacobson (Leader)
Paul Casey	Laura Bucaro
Sherry A. Lyons	Anne Comeaux
Dusty Norwood	Lames G. Junior
Tiffany Shropshire	R. Brooks Moore
Bill Fuqua	Sharon Siske-Crunk
Robert O. Marlin	Kay Steed
Gayle Humpa	Sheila Anderson
Jan Ferrari	

Email Management Workgroup	Members at large
Erinn Barefield (Leader)	Chris Foster
Connie Gilkey	Shenny Sheth
Dan McGowan	
Tim Nolan	
Margaret Hermesmeyer	
TJ Wasden	

Respectfully submitted,

Jan Ferrari

Texas State Library and Archives Commission

Thomas (TJ) Wasden

Department of Family and Protective Services

Co-chairs, Committee on Best Practices for Managing Digital Information

Part 1: Report of the BPC Electronic Records Management Workgroup

Executive Summary

The Electronic Records Management Workgroup of the Best Practices Subcommittee under the Records Management Interagency Coordinating Council consists of representatives of state agencies and universities who have expertise in the areas of records management, archives, and information technology and security. The workgroup studied their own operations and reviewed articles and guidance documents on this topic. This report is an overview of challenges, solutions, and recommendations regarding electronic records management.

Technology changes rapidly. Often, by the time we embrace and understand new technology, it is already evolving or obsolete. This creates challenges for records management, archives, and information technology to address ongoing issues such as what constitutes an electronic record, how long it needs to be kept, and how it can be preserved or accessed in the future. Presently, there are no common languages or skill sets available to address these issues in timely, cost-effective, and efficient ways.

The Electronic Records Management Workgroup reviewed the current state of electronic records management and its inherent complexities, and makes the following recommendations on guidance, training, and resources.

Recommendations

This workgroup recommends the following solutions to identified issues in electronic records management. Each numbered issue below appears again later in this report offering detailed descriptions, discussions, challenges, solutions and examples.

Recommendations on Guidance Issues

Strategic Organizational Alignment (Issue 1): Records management should be aligned with the compliance office, or with a similar department having the authority and resources to reach the entire agency.

Electronic Records Management Partnerships (Issue 2): In coordination with the Texas State Library and Archives Commission (TSLAC) and/or RMICC, 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.

Long-term Access and Archives (Issue 3): Texas needs to establish an electronic records management program for state agencies, with accepted standards for file formats, storage options, and other features. This would provide guidance to state agencies on managing their electronic records, and stability in the whole electronic records process. Concurrent with this program, the State should create a repository for preserving archival electronic records, with the Texas State Library and Archives Commission leading the effort.

Compliance Monitoring and Enforcement (Issue 4): Each records management department should develop metrics for the progress and success of their programs, and regularly report outcomes to agency executives and staff. Records management also should partner with information technology from the beginning of projects and systems development, and should align their agency strategic plans with the Department of Information Resources' State Strategic

Plan regarding records management issues that impact IT. To aid this effort, RMICC or TSLAC could develop sample metrics for agencies to adopt for this purpose.

Recommendations on Training Issues

Training Requirements for Records Management Officers

(Issue 1): The Texas State Library and Archives Commission offers a robust and varied optional training program for all levels of state or local government staff. However, it is unknown what percentage of agency RMOs attend any of these classes or if they ever attend additional records management training in specific topics. Many excellent classes and webinars from TSLAC, ARMA, AIIM, and others could fulfill the requirements. The Texas State Library and Archives Commission should create a mandatory initial and continuing education program to track the training of records management officers as authorized in statute (Government Code 441.182(e)(3)).

This program might emulate the Department of Information Resources' information resource manager (IRM) training requirements[i]. IRMs must complete certain core training requirements within the first two years after appointment. Then, IRMs must accumulate a set number of continuing education hours in specific topics each fiscal year. DIR does not create and provide all of the training opportunities that can qualify.

Training Requirements for Information Resource Managers (Issue 2): The Department of Information Resources should modify their IRM training program to clearly address records management topics that IRMs need to know.

Training Requirements for Executives, Management, and Other State Employees (Issue 3): Executives, management, information technology, legal and other key staff should receive specific and directed records management training. All state employees should receive basic training in records management, with large agencies allowed to phase in this requirement. Records management should be included in new employee training followed by annual refreshers. Also, records management concerns should be addressed when an employee changes jobs or exits an agency.

Recommendations on Resource Issues

Texas State Library and Archives Commission staffing and funding (Issue 1): Increase authorized full-time employees and budget for the agency, which will enable additional training and preparation of model materials for state agencies' records management programs. Also, provide funds to a) train existing staff in current e-records management topics and practices, and b) hire electronic records specialists to establish and manage an archival repository to house permanently valuable electronic records of state agencies.

The Texas State Library and Archives Commission would work with the Department of Information Resources, the Governor's Office, the Legislature, the Records Management Interagency Coordinating Council and key state agencies to launch the program. The goal would be one system for all agencies to use, instead of letting agencies duplicate efforts to manage electronic records in disparate or incompatible systems.

Staffing and Funding for State Agencies (Issue 2): Increase authorized, dedicated full-time employees and budgets for agencies to provide additional resources to improve their records management programs.

Introduction

Paper and electronic records pose similar challenges when applying records management principles and retention policies. With personal computers today, employees are directly responsible for creating and filing their own documents. Although training may be available, it is a huge challenge for large organizations to instruct thousands of employees dispersed over a wide geographical area. This often leads to inadequate control over the creation and maintenance of electronic records. We have to help the hoarders who never sort or manage their records, as well as those who delete everything without regard to records series, retention periods, documentation or archival needs.

Traditionally focused on maintaining physical records, records management programs now must find ways to manage a rising tide of electronic information. Failure to update and standardize agency-wide records management capabilities may result in higher operating costs. The need for better records management comes amid heightened scrutiny by both regulators and courts.

It is important to consider the full cost of unmanaged e-records.

Information technology (IT) can add to the challenge by establishing extreme policies that require keeping everything or deleting records based on creation, last-viewed date or even size, regardless of the record's purpose, content, context or retention requirements. Departments may acquire hardware or software that is inappropriate for or improperly applied to records management requirements. Policies and actual practices must continually monitor rapidly changing hardware and software that could result in backup tapes that cannot be restored, storage media (disks, tapes, etc.) that cannot be read, and data migrations that cannot be successfully completed.

It is important to carefully consider the full cost of unmanaged e-records. While computer storage media have become cheaper and more robust, technology (hardware, software, bandwidth, access and faster search response) and IT staff can be costly, as is paying attorneys by the hour to review unmanaged e-records for discovery. In the following pages, this report discusses guidance, training and resources that agencies need now for their electronic records management programs.

Guidance

Both the Texas State Library and Archives Commission and the Department of Information Resources help state agencies follow Texas statutes regarding records management and IT management. Similarly, each agency has the authority to create and implement administrative rules to provide further guidance. For example, Texas State Library and Archives Commission's electronic records rules may be found in 13 TAC Chapter 6. Both organizations offer training, publications, joint conferences and other services to help state agencies manage electronic records and technology.

State agencies face several challenges related to their records management programs. First, records management functions often are placed in departments that are too narrowly focused to positively influence and aid major initiatives at the agency. Other issues are described below.

Issue 1: Strategic Organizational Alignment

A records management department needs to be highly placed in an organizational structure (e.g., reporting directly to the Executive Office). This gives records management a strong voice for enforcing compliance, and for catching and holding the attention of other departments.

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. Unfortunately, many records management operations are placed in IT, administration, facilities, audit, legal, or other departments whose priorities do not necessarily include effective records management.

An example of the elements for a successful program follows. The records management department is responsible for certifying the agency's records retention schedule in accordance with 13 Texas Administrative Code 6.2. The records management team develops policies, directives and instructional materials governing the organization, maintenance and disposition of records, regardless of medium. The records management team or Records Management Officer (RMO) guides, assists and trains other departments in all aspects of the records management program. The team also handles disposition activity at the end of the records life cycle, which includes review, approval and accountability to leadership and each department at the end of the reporting period. Also, the records management team or RMO coordinates the retirement and retrieval of records to or from the inactive records center, and works closely with the archivist on disposition of historically significant records. The team or RMO also supports the content management system, and may perform or contract for digital imaging.

The management of business records by state agencies is a fundamental responsibility of government.

The management of business records by state agencies 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. Records management programs flourish with the support and commitment of the executive director and agency leadership.

Challenge

Despite the urgent need to manage information more systematically, records management programs typically have difficulty getting every department to manage their records according to the terms and conditions of the certified records retention schedule. Records management is concerned when employees comment:

- As a new employee, I asked how long to keep a certain record. I was sent to the records training class because no one in the department knew the answer.
- While I fully understand the risks associated with not managing my records – what will happen to me if I do not do anything?
- My job is all about managing risks, but right now I have far greater risks to manage, so records are very low on my risk-management scale.

Solution

The secret to success for strategically aligning records management in the organization is leadership. It must begin with the agency leader and senior management, but it cannot stop there. Records management goals that are both supportive and complementary must be in place. Records management touches all aspects of an organization and should have an

organizational strategy that allows the records manager to contribute significantly to achieving effective records management and overall agency goals. The remainder of this section describes possible solutions to this challenge.

One possibility is to place records management within the compliance office or its equivalent. Typically, the primary mission of an agency's compliance office is to promote adherence to all applicable legal requirements; foster and help ensure ethical conduct; and provide education, training and guidance to all employees and faculty.

Aligning the records management program with the compliance office better enables records management to monitor how well agency departments adhere to records management's legal requirements and internal policies. With the assistance of the compliance office, the records program can address records management compliance breaches and evaluate how well the records management program helps the organization achieve its objectives. Metrics might include reducing the costs of information storage or costs associated with discovery, and increasing the number of employees trained.

Increasing internal awareness and strengthening records management compliance must be ongoing goals of the program. Awareness of program benefits can be increased in several ways, such as:

- Brochures, flyers and tip sheets
- Web-based, classroom and one-on-one training
- "How to" videos published on the records website
- Hosting an open house or other events in conjunction with national Records and Information Management (RIM) month (April) and Earth Day
- Records management participation in new employee orientation

Compliance can be improved and monitored by:

- Reminding departments at key times during the year to follow the records retention schedule
- Providing incentives to coordinators who manage departments' records, and recognizing participating coordinators
- Asking department administrators to establish records management outcomes as a performance measure for coordinators

Issue 2: Electronic Records Management Partnerships

Challenge

Electronic records management cuts across functional areas and is important to every governmental body in every aspect of their operations. Recent events highlight how critical it is to have good records management policies and procedures for:

- Emergency management, disaster planning, disaster recovery, vital records protection
- Open government, government transparency, public information requests
- Litigation, e-discovery, production, spoliation, legal issues
- Budget cuts, efficiency, doing more with less, downsizing, outsourcing
- Technology changes, pace of innovation, obsolescence, migration, preservation
- Privacy, protection, security

- Audits, accountability, reliability, integrity, authenticity
- History, archives, preservation, research, access

Solution

Working with executive and agency leadership, develop a partnership in which records management can partner with IT, archives, legal, auditors, emergency management, department heads and records creators to achieve effective compliance and records disposition. These interdependent groups both influence and are affected by electronic records management (ERM), and all are concerned about managing attributes such as records authenticity and provenance. These and other concerns have brought attention to the records-creation process itself and the need for information professionals to engage directly with records creators early in the records life cycle.

Issue 3: Long-term Access and Archives

While some paper documents kept in ideal storage conditions may last 200-300 years, electronic records have a much shorter life span, with some becoming unreadable in 5-10 years. Technology obsolescence is an issue in the electronic data field. Over the past 20 years, 8-inch, 5-inch and 3.5-inch floppy discs have become obsolete. Software programs are constantly upgraded and many proprietary programs that had a strong market presence a few years ago are out of business, while data created by those programs are often unreadable.

Challenge

Digital preservation is a new and challenging endeavor in that the basic nature of digital data is machine-readable, not human-readable. Maintaining these data in a form that humans can decode over time involves the use of complicated, intertwined technologies, and ongoing prevention of physical decay.

Digital information also can be lost through technology obsolescence and physical damage. Obsolescence can affect every part of storage in a digital file format's original state, including hardware, software and even arrangement of data (i.e., file format specification) in a stored file. Like analog media, digital information also is vulnerable to physical threats, and damage can occur to the components required to store and access data.

Digital archives preserve electronic records with long-term legal, historical or fiscal value. Through a variety of methods, digital storehouses assure platform-neutral retrieval well into the foreseeable future.

Solution

Long-term and permanent digital preservation depends on several factors, including hardware and software used to create a record or file format and to gather quality metadata. Two common approaches to preserving electronic data are migration and normalization. In migration, electronic data are "moved" to upgraded or new hardware/software platforms every 3-5 years. Normalization changes data to a persistent format that is expected to last for many years, such as ASCII, PDF, PDF/A, TIF, or WAV files.

A more expensive process is emulation, utilizing new hardware and software to store data in its original format – useful for preserving data produced with obsolete technology. Alternatively, the State Archives (a division of the Texas State Library and Archives Commission) currently converts electronic data to hardcopy.

Texas needs to establish an ERM program that contains accepted standards for file formats and storage options, among other features. This would guide state agencies in managing their electronic records and provide stability throughout the electronic records management process. It also would help answer questions such as:

- Are agencies storing their electronic records in a "cloud" (shared repository with outside management), a LAN system of servers at their facility, or in a consortium with similar organizations?
- How are agencies providing access to public e-records, and how can access to confidential records be restricted?

Concurrently, Texas should create a repository for preserving archival electronic records. Some state agencies have begun directly managing their archival electronic records, generally without input from the State Archives. Yet, the State Archives should be leading the creation of an archival digital repository, and setting standards for the ingest, storage, metadata, management, access and preservation of archival electronic records.

Issue 4: Compliance Monitoring and Enforcement

Challenge: measuring, monitoring and reporting

Certifying a records retention schedule is just the beginning of a records management program. It is not enough for an agency to simply list its records and specify what it intends to do with them; the agency must actively, routinely and conscientiously apply the retention schedule to the life cycle of every record. Records managers know this and provide reports to departments and management. When a records series has met its retention period, and if no special circumstances apply, the records management department must process the records and complete a disposition log. If the record has historical significance or needs to be reviewed for historical significance, an archivist must be involved.

Like other departments, records management should measure, monitor and report compliance performance, and identify areas that require further attention. Records management programs have tried many approaches to encourage compliance.

The management of digital, imaged and email records is a major challenge. Sometimes, agencies are reluctant to report on areas that need improvement for fear of placing themselves in a bad light. However, it is more important for an agency to show that it is complying with the law while effectively and efficiently using taxpayer dollars. The National Archives and Records Administration (NARA) recently asked federal agencies to conduct an annual records management self-assessment. NARA reported the 2010 results to Congress and the President, and uploaded them to its website. According to NARA:

> "The responses indicate that 95 percent of those Federal agencies that responded are at high to moderate risk of compromising the integrity, authenticity, and reliability of their records. They risk improper management and disposition of records or, in some cases, they are saving their records but not taking the necessary steps to ensure that they can be retrieved, read, or interpreted." [ii]

How well are Texas state agencies performing in these areas?

Solution

Records management should assess conformity with the records retention schedule at least once a year, and report the results to a management and support team that might include a

compliance officer, IT, archivist, legal services, auditor, department head, and department records liaison.

To aid this effort, RMICC or TSLAC could develop sample metrics for agencies to adopt for this purpose. Several methods can be used to measure records management program activity, such as requiring each department to submit an annual records management plan. Other ideas are listed below.

Records inventory

Perform an inventory of the current volume, type and age of records on hand, and the date of any previous inventory. If you have the staff, you can send trained employees to inventory each department. Inventory staff should count everything - paper piles on desktops, boxes tucked in closets, e-mail, files on network drives (personal and shared), hard drives, thumb drives, CDs, and anything else that could contain a record. Also, identify all inactive records currently in records storage centers, attics, basements, sheds and other places.

Disposition activity report

Information for this report can be obtained from the disposition logs that are sent to records management for approval throughout the year, and from compiled data on disposition.

The activity report presents an opportunity for records managers to put a positive emphasis on the importance of managing records. It also allows the agency to focus on and achieve measurable and defensible enterprise-wide records retention and deletion.

Other metrics

Records management activity also can be measured by:

- Number of staff trained and training hours logged
- Volume of items transferred to the archives for historic preservation
- Time required to locate records for open records requests, litigation or audit
- Percentage of departments sending records to inactive storage
- Percentage of departments disposing of records
- Decrease in purchases of new filing cabinets or network storage space

Routine program summaries can show progress toward goals, help identify areas that need more work in the next period, and quantify savings in dollars, hours, equipment, manpower, etc.

Challenge – the evolution from paper to electronic records

Historically, senior managers did not place a high priority on records management. However, technology, litigation, new federal legislation and the explosion of electronic data convinced many organizations to put more emphasis on managing records and information. Subsequent audits identifying records management compliance deficiencies resulted in calls for better monitoring, tracking, archiving and disposition of records. As records management awareness grew and electronic records began replacing paper records, attorneys and IT managers came to dominate the typical organization's records management program. All too often, records management officers found they no longer had a seat at the management table.

Solution

Whenever information systems are discussed and planned, records management needs to be a part of the process. This includes a records management presence at focus groups for end-users, participation in the team that compiles requirements for new software or upgrades,

and input to project managers and those who evaluate the need for new systems, software and technology.

Making the records manager an integral part of the project team is the best way to ensure that an agency's records and information will be protected and preserved. The evidentiary benefit of the agency's records and information also helps reduce numerous risks for the agency.

IT and Records Management must work together to develop new systems solutions.

Challenge – getting IT and records management to work together

Information technology and records management often operate in separate spheres, sometimes using the same words to express very different ideas. In some cases department staff do not even know each other, much less what each other does. This situation is unfortunate, because IT and records management must work together to chart the course of technology and records management for the future.

Solution

Both IT and records management have a major opportunity to develop new systems solutions for their agencies, if they work together. Records management must realize that if it does not collaborate with IT, agency records and policies will continue to lag technology advances. IT must appreciate that if it does not involve records management in technology project planning phases, e-records will continue to be poorly managed due to the lack of records management input when systems are being chosen, developed, deployed or decommissioned.

Training

It is important to train, update and cross-train professionals in records management and information technology. Furthermore, executives, management and all other agency staff need to understand their role in records management.

Often, records management programs have had to be creative. Some have partnered with other departments that have more staff and/or more money. Others have assisted their training departments by providing records management topics and information for employee instruction.

Training efforts may differ according to the types or sizes of agencies. Law enforcement, health, education, judicial, regulatory and other types of agencies have varying compliance requirements, and may find different solutions for improving records management programs through training. Smaller agencies may quickly achieve 100 percent of their training goals. Agencies with thousands of geographically dispersed employees may need a different approach or timeline.

Issue 1: Training Requirements for Records Management Officers

Texas law (Government Code Chapter 441) makes each agency head responsible for their organization's records management program. In practice, that responsibility is frequently delegated to a designated records management officer (RMO) who often has no training in records management, and who has other duties. Plus, the records management function may be shifted from one department to another fairly often.

Challenge

Agency RMOs come from all levels of an agency's structure, with varied work and educational backgrounds. Many start out without any formal records management training. They often do not have any information technology, business process management or business analysis training and may lack other knowledge important to records management. The Texas State Library and Archives Commission offers a robust and varied optional training program for all levels of state or local government staff. However, only a small percentage of agency RMOs attends any of these classes.

Solution

Under Government Code 441.182 (e)(3), the Texas State Library and Archives Commission is authorized to oversee a mandatory training program specifically for records management officers. If modeled after Department of Information Resources' information resource manager training requirements (see description of program in next Issue), it would set out topical areas for mandatory and optional training, require certain training during a records management officer's first two years, and require continuing annual education thereafter. The training should incorporate new technology and address legal issues as they develop.

Issue 2: Training Requirements for Information Resource Managers

Agency IRMs have a specific training regimen required by Department of Information Resources. They must complete instruction in certain topics in the first two years on the job. Then, they must complete continuing education requirements annually, based on the size of their agencies' IT budgets.

Challenge

Unfortunately, the core competencies and training requirements do not specify records management training for these key employees. The records management profession has tried many tactics to bridge the gap between IT and records management. Training can bring these two groups together.

Solution

Updates to the training requirements and core competencies could address this issue. By adding records management topics, the executives making IT decisions will become aware of current issues in records management and state legal requirements, and encourage cooperation between records management programs and IT staff.

Issue 3: Training Requirements for Executives, Management and Other State Employees

Challenge

Agency heads are ultimately responsible for their agency's records management program, even if they delegate that function to another high-level employee. Therefore, agency heads need basic training in records management.

Agency heads are ultimately responsible for their records management programs.

Other executives and management also must become familiar with how integral records management is to every agency action, project, program and operation. Records management is fundamental to documenting how decisions are made, what the agency does, how money is spent and other functions.

At the most fundamental level, every staff member should be introduced to their recordkeeping duties. Because everyone is part of the records management life cycle, all should know how to organize, locate, protect, preserve and manage the records in their care.

Unfortunately, efforts in these areas have met varying levels of success. Some agencies have tried training records liaisons who then train their departments, but sometimes this has not worked. Other agencies have posted online training that few staff have accessed or completed. It is crucial to find a way to reach everyone with this important information.

Solution

Similar to the Texas Open Meetings Act training required by law and provided by the Office of the Attorney General, mandatory online records management training could be made available with different sessions geared to agency heads, executives, management and all other state employees.

Opportunities for training include new employee orientation, annual refreshers, and records transfer during the exit process. The Texas State Library and Archives Commission could provide overview training (online or via webinars) in records management laws and records management practices, and the importance of audits to monitor compliance. These or similar courses could become mandatory for all new state employees and for an annual refresher. Agencies could supplement the training with materials specific to their internal policies and procedures.

At one time, the Texas Building and Procurement Commission (now Texas Facilities Commission) required all new state agency employees to view a presentation about recycling, sign an affirmation they had done so, and send the signed document to their agency human resources office. Records management is important enough to require a similar effort to reach every new and current state employee. Also, many agencies have annual training requirements (e.g., for compliance and information security) that all employees must complete. Records management should be added to that list of required training for all state employees.

Resources

Funding and staffing for records management programs are not keeping up with statutory requirements.

Funding and staffing to run records management programs are failing to keep up with statutory requirements, professional standards and agency needs. The records management program crosses all boundaries and touches every program area, including business operations and cost reduction. Recent news pinpoints some of the risks involved in *laissez-faire* records management. Articles abound detailing records management failures involving litigation (e-discovery), disasters (vital records protection), audits, reviews and more.

The Texas State Library and Archives Commission's programs are relevant to most areas within state agencies and provide archival storage for permanent and historically valuable records. However, funding and staffing to run these programs have not kept pace with state agencies' demands for records management assistance or archival storage and access.

Issue 1: Texas State Library and Archives Commission staffing and funding

Challenge

The Texas State Library and Archives Commission's State and Local Records Management Division provides services to every state agency, state university and local government in Texas. The division has six government information analysts who consult with state and local governments, provide training, work with records managers to develop retention schedules, and review schedules. Salaries, travel funds, professional training funds and the number of authorized fulltime employees have remained stagnant for many years. The Division serves all state agencies and over 10,000 local governments in Texas.

The Archives and Information Services Division of the Texas State Library and Archives Commission serves every state agency and many local governments in Texas. The division employs five archivists to answer questions and review records schedules for state agencies, appraise records series on schedules with archival review codes, transfer records from agencies to the State Archives, prepare guides to records and assist state agency staff and the public with reference and research questions. The division currently does not accept the transfer of electronic records, as they have neither funding nor qualified staff to establish an electronic archival repository. State agencies must manage their archival e-records until such a repository is available. The number of fulltime authorized archivists has remained static for many years, with few increases in salaries or travel funds. Due to the proliferation of electronic records, all agency archivists need training in that area. These same archivists also must continue to manage the vast quantities of paper records being transferred by agencies to the State Archives.

Solution

Provide funds and authorize increased staffing for records management support and training for Texas agencies. Suggested training includes information technology, electronically stored information, e-discovery, business process management, enterprise content management, business analysis and risk management.

Also, provide funding for training existing TSLAC staff in current e-records practices, and for hiring electronic records specialists to set up and manage an archival repository at the State Archives to house permanently valuable electronic records of state agencies. The State Archives would work with the Texas Department of Information Resources, the Governor's Office, the Legislature, the Records Management Interagency Coordinating Council and key state agencies to initiate the program. The goal would be one system for all agencies to use, instead of letting agencies duplicate management of electronic records efforts in disparate or incompatible systems.

Issue 2: Agency staffing and funding

Challenge

Many agency records management officers have other duties and may be forced to give records management issues a low priority. Some may lack records management training and may have only one or two records management staff members, regardless of the size of their agency. Additionally, records management staff has been reduced by recent and continuing state budget cuts, seriously weakening this crucial business function.

Solution

Increase the number of authorized FTEs to enable the agencies' hiring of mid- and high-level staff with the skills to implement and adequately manage our state's records management programs for both print and electronic records.

Part 2: Report of the BPC Email Records Management Workgroup

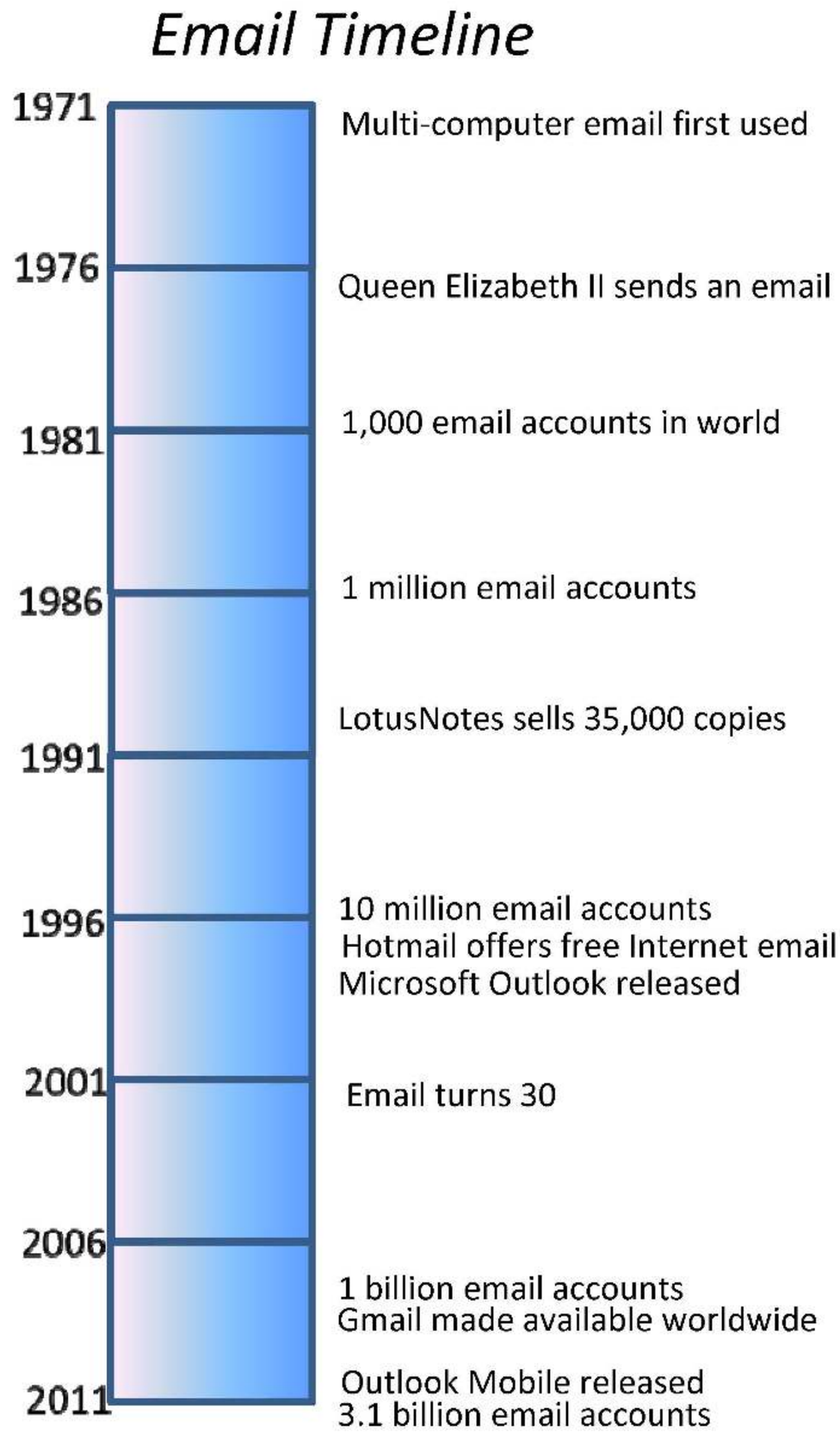
Executive Summary

Email has become the ubiquitous business communications medium for both the public and private sectors. Organizations increasingly are using email for decision-making and internal governance, while courts are recognizing electronic messages as evidentiary material and government agencies are being compelled to treat it as public information. Additionally, the rapidly growing volume of email worldwide is increasing the need for cost-effective electronic storage, access, and archiving.

In such an environment, every public and private organization is well advised to develop, implement and enforce an enterprise-wide email management policy. Although exigencies can vary widely among organizations, email management and archiving require a basic infrastructure composed of policy, procedures, training, software, hardware, and enforcement.

A number of technologies can provide enterprise email records management, depending on an organization's needs. Systems range from messaging, archiving, records management and compliance solutions to approaches tailored to discovery, security and content management.

Recommendations to state agencies and the Texas State Legislature are included in this report.



The Case for Email Records Management

Electronic mail, once the experimental domain of scientists and engineering students, has come to dominate the world of business and government. The average American employee sends and receives 140 to 150 emails (often with attachments) per day, which requires about 28 megabytes (Mb) of storage space daily and 7 gigabytes (Gb) annually. The same employee spends 1.5 to 2.5 hours per day processing email, at an overhead cost of more than $5,000 a year to the employer.

The volume of email in the world is increasing exponentially at a compound rate of 11% per year, according to some analysts. Most of that enormity is not effectively managed, leading one technology consultant to warn: "Unless otherwise archived, managed or deleted, an organization can have literally hundreds of thousands or even millions of emails, often stored either on expensive file shares … or squirreled away in even more difficult-to-reach places." [iii]

Legal Liability

Recent court decisions show that stored email is a mixed blessing – an asset when handled well, but harmful when deleted too soon or kept too long. An example of the former is a Georgia bank with 30-day email deletion policy that received a state court sanction for failing to preserve just one electronic message. When the case went to trial, the court told jurors to presume that the bank had purposely deleted the email to hide damaging evidence.

Retaining email too long also can be just as hazardous: electronic messages are considered legally discoverable evidence (and public record for government agencies), which means that an organization could end up paying attorneys by the billable hour to review emails that legally could have been destroyed.

Failing to keep up with available technology also can cost an organization, as exemplified in the civil case of *Starbucks vs. ADT*. In April 2009, after hearing ADT protest that it would have to spend nearly $850,000 to fulfill discovery of emails from its outdated electronically stored information (ESI) system, a federal court in Seattle ruled that ADT should have migrated the data to its newer Zantaz system (installed in 2006), and decided in favor of Starbucks. Similarly, Sun Trust Bank lost a key motion in a wrongful termination suit after a federal judge ruled that Safe Harbor affords no protection to an organization that relies on its individual employees to manually archive and delete electronic data.

> *Government organizations with larger budgets are especially vulnerable to class-action lawsuits originated by law firms intent on targeting email.*

Public agencies and organizations would do well to pay attention to these cases from the private sector. *Government units with larger budgets are especially vulnerable to class-action lawsuits originated by contingency-paid law firms intent on targeting agency email.*

Records Integrity

Failure to manage email effectively places at risk the integrity, security and survival of organizational records. For example:

- Managers and employees frequently use email to announce decisions, document processes and even store archival information, either from habit or lack of alternatives. In such situations, an organization is just one server-crash away from losing vital data.
- An estimated 80% of an organization's intellectual property (or other sensitive information) goes through its email server. The absence of non-secured monitoring and disposition of electronic messages exposes an entity's key assets to theft or unauthorized viewing.

Also, it's very important to preserve metadata (such as sender, recipients, time and date) to prove the validity of each email as legal evidence. In a Massachusetts civil case, a venture capital company was able to derail an investor's $25 million suit by using metadata to prove the plaintiff had altered a critical email to support his case.

Operating Costs

It has been estimated that 90% of all email records on employees' computers are convenience copies or transitory messages - the result of human reluctance to delete data even when its purpose has been fulfilled. This creates higher incremental costs that can add up to significant amounts. For example, one Texas state agency found it had been spending $126 per employee

per month to store emails on servers;[iv] if the same is true of other state organizations, the potential for savings is obvious.

Ineffective email management lowers productivity, causing employees to spend an average of 182 hours per year looking for lost e-files, according to one estimate. For a state agency with 1,000 employees, the hypothetical price of such searches would exceed $1.4 million per year, based on an average compensation rate of $28.06 per hour. But perhaps a larger cost is the consumption of agency time better spent on customer service and core functions.

Having employees personally manage and archive their email raises expenses as well, costing an hour per week or more per person in lost productivity.

Potential Benefits

The benefits of effective email management include increased productivity, more time spent on productive work and faster response to open records requests. Fulton County, GA (which includes Atlanta) uses a cloud-based archiving system developed by a vendor. The county estimates it saves approximately $257,000 in labor costs per quarter by reducing search time for open records requests from days to minutes.

Other advantages include:

- Availability of email data for workflow and trend analysis
- Relief for overburdened servers. According to one source, attachments (including duplicates) account for 96 percent of the space used on email servers. An archiving system with "single instance store" can compress this volume by as much as 70 percent by storing only one copy of each attachment.
- Greater organizational integrity. Sensitive records go from personal in-boxes to more accessible and searchable systems, email-based decisions are preserved, and proprietary information is protected.

Email Policy

A comprehensive and well written email policy, supported by an organization's leaders and consistently enforced by staff, is the core of effective electronic message management.

A comprehensive email policy is the core of effective electronic message management.

Preliminary Steps

1. Research laws, rules, model policies, best practices, and other relevant data.
2. Evaluate your organization's records management program. This includes verifying the program's compliance status making sure a certified retention schedule is in place.
3. Conduct a needs assessment to figure out your organization’s specific operational and legal needs. Recommended actions:
   - Assess your existing systems and procedures.
   - Identify where your organization needs to apply restrictions and guidance.
   - Review conversion, data migration and data storage options.
   - Assess affordable options for purchasing an email management system.
   - Consider long-term approaches and requirements.

4. Obtain senior management's approval and support. Present a project proposal for creating an email policy; set goals, strategies and timelines for policy development and implementation.
5. Identify and organize the key stakeholders. Among them should be records management, human resources, information technology and senior management - plus others as appropriate. Create a policy development team comprised of these stakeholders, and consult your organization's divisions and program units for ideas.
6. Create a policy draft, using this report's suggestions and model policy to help build a base structure. Seek input and review from your stakeholders, and plan to ask senior management and legal staff to review and approve the policy.

Policy Content

Although content will vary according to the size and needs of your institution, industry literature and this committee's professional experience suggest that an effective email policy should address the following topics:

1. Statement that management of email is required by law, and listing of related policies and regulations
2. Definitions of terms used in the policy
3. Guidelines on how email should be utilized
4. Staff roles and responsibilities
5. Enforcement, including expectations and penalties
6. Retention requirements - email retention is based on content of record and the retention schedule
7. Maintenance and disposition of email – documentation of procedures for retaining and disposing of email
8. Procedures for identifying owners of record, disposition methods, classification of messages, etc.
9. Periodic audits or assessments of compliance
10. Employee training in email classification

Policy Implementation and Follow-up

Any organizational email policy must be accompanied by an implementation plan that is comprehensive, well disseminated, and effectively enforced. A basic plan may include the following:

Phase I: Collect pre-implementation statistics, such as:

1. Amount of server space being used to store email
2. Time spent searching for emails
3. Costs to agency for not managing email
4. Legal risks of *not* having a policy

Phase II: Develop an implementation plan that encompasses the following actions:

> *Set realistic goals for developing your email policy.*

1. Make the policy specific to agency needs.
2. Build agency awareness of the policy.
3. Set realistic goals and timeframe for policy development.
4. Conduct any system development or integrations (as applicable).
5. Develop tools and guidelines for policy training - including checklists, frequently asked questions (FAQs), references manuals and presentation modules.
6. Designate an email policy team or liaisons to help train your staff (as applicable).
7. Create a forum for user feedback, and use the results as needed to adjust each phase in the implementation process. Test your policy on a limited group of staff.
8. Review test group feedback, lessons learned, and newly surfaced issues. Identify any necessary changes and utilize your original, pre-implementation statistics to measure them.
9. Finally, change your email policy as needed before releasing it to the rest of the organization.

Phase III: Implementing the Policy

1. Distribution: Announce the new policy and provide staff with expectations and procedures. Post the policy in a common space, such as the organization's intranet. Include policy training in new-hire orientation, and require each staff member to sign a form acknowledging their understanding of compliance requirements.
2. Enterprise-wide implementation: This step is best done in phases, so that you have more control over the process.
3. Training: Instruction can be tailored to the needs of each program or division, with one-on-one interaction encouraged between trainers and employees. Suggested content:
   - Introduction to email procedures and expectations
   - How to follow email procedures: staff responsibilities, identifying official state records, file plan guidance
   - Certificate or acknowledgement stating that training has been completed
   - Feedback: User responses should be collected during each phase of the implementation process, and adjustments made as applicable.

Phase IV: Post-implementation

1. Review and assess email policy
2. Provide implementation summary report, including objectives met and/or exceeded; unmet objectives; and improvement plan
3. Perform ongoing audits and assessments
4. Monitor legislative changes, government rules/laws, and industry standards
5. Review policy periodically to ensure information is still accurate and applicable
6. Instruct supervisors to address email file management compliance during annual employee performance reviews

7. Create a review tool or checklist to help show supervisors the proper standardized steps for reviewing staff email files (as applicable)

Email Technologies

Email management systems are as varied as the institutions they are designed to serve. For that reason, this workgroup has chosen to avoid recommending any particular software or hardware, and instead describe below the types and functions of systems available in the marketplace.[v]

(Note: U.S. Department of Defense standard DoD 5015.2-STD, which has been endorsed by the National Archives and Records Administration [NARA], may provide public organizations with a useful reference tool for selecting an appropriate system.)

Email management systems are as varied as their institutional users.

Messaging Applications

Designed primarily to send and receive messages and attachments. Some also provide extensive calendaring functionality. They are not designed to offer long term storage, records management, or litigation support for messages. The messages are stored in the user's inbox and outbox, or the application's "archive." They are purely send-and-receive applications without management functionality.

Archiving Solutions

These archiving solutions copy or remove messages from the messaging application to another storage location. Messages are selected for archiving according to defined rules, such as the age of the message, its size, receiver or sender, and content of the message. These solutions provide better management opportunities than simple messaging applications.

Records Management Solutions

These solutions provide the functionality required to comply or enforce email or communication policy - for example, by scanning and reviewing outbound or internal messages for inappropriate content. These solutions also can be used to prohibit the creation of personal archives, or require them to be stored in an accessible network location that is regularly backed up. Many of these solutions provide some type of classification capabilities based on message content or metadata.

Compliance Solutions

These solutions are designed to address compliance requirements such as HIPAA, the USA PATRIOT Act, or the Sarbanes-Oxley Act. They may include email archiving and management capabilities but also provide for specific email monitoring, review, and notification. They may scan messages and block improper content or forward an alert to management for appropriate action.

Discovery Solutions

Discovery solutions provide specific capabilities to enhance email discovery and litigation support. These solutions include mechanisms to impose a litigation hold and to lift the hold once the litigation is complete. They also allow messages to be exported into a usable format, such as PDF or TIFF.

Security Solutions

These solutions are designed to protect the organization from technology threats such as spam, viruses, and malware. They work by scanning incoming and outgoing messages for inappropriate content.

ECM and ERM Solutions

Enterprise Content Management (ECM) and Electronic Records Management (ERM) solutions offer some basic archiving functionality. This is accomplished either by automatically archiving at the server or by allowing users to select messages to be put into the repository.

Recommendations

This Working Group offers the following general recommendations for supporting effective email management.

1. Establish a functioning Records Management Program with a certified retention schedule.
2. Build a business case for an email management solution, including return on investment (ROI) calculations.
3. Develop an email policy.
4. Follow best practices for managing email.
5. Choose an appropriate and affordable software solution to managing email.
6. Provide staff with an email management training program.

Conclusion

Although effective email management and archiving remain in infancy for both the public and private sectors, lack of organizational attention to this issue carries significant legal risks, increasing operational costs, and threats to records integrity. For these reasons, we cannot overemphasize the necessity for organizations to incorporate an email management policy and supporting infrastructure. We hope that this report has provided sufficient information to help public and private entities move in that direction.

Part 3: Report of the Social Media Records Management Workgroup

Executive Summary

The Social Media Workgroup studied the use and management of social media in state government and determined that it is quickly evolving into an accepted form of communication. The Texas Department of Information Resources (DIR) published *Social Media Guidelines* in May 2012.

New legislation should not be required because existing laws apply to all state records, regardless of their medium or the system in which they are maintained.

There are many issues to consider prior to implementing a social media project. Classifying and managing state records in social media according to retention policy can be very time-consuming and costly. Currently, there are a variety of methods that can be utilized to capture and preserve social media content.

The Social Media Workgroup recommends that state agencies should have policies regarding the use of social media with clearly defined roles and responsibilities. Agencies' social media tools must conform to the TAC guidelines for accessibility, privacy, and protection of intellectual property rights. The workgroup also recommends that DIR and the Texas State Library and Archives Commission (TSLAC) work together to provide guidance and training for state agencies.

Introduction

Social Media Workgroup members represent state agencies and state universities in the areas of records management, archives, and law.

Merriam-Webster defines social media[vi] as: forms of electronic communication (as websites for social networking and microblogging) through which users create online communities to share information, ideas, personal messages, and other content (such as videos).

Social networks are communities of interest that allow and promote sharing among members of information, images, videos and links. Most allow personalization of a profile and some offer applications that allow automated sharing across multiple platforms. Some networks are more generally social, like Facebook. Others have a more specific functionality/audience, such as NeighborGoods or Ravelry.

Common types of social media include:

- Microblogs
- Blogs
- Photosharing
- Videosharing
- Social Bookmarks
- Location-based Apps
- Podcasts
- Wiki
- Filesharing
- Virtual Worlds
- SMS

- Forums
- Augmented Reality

Citizens and residents, private businesses, news outlets, and those deeply involved in political, military, civic and educational services are increasingly interacting with and through social media applications. Social media is now a primary information and communications source for a growing segment of the population.

Current Social Media Initiatives

At the federal level, the National Archives and Records Administration (NARA) provides some guidance regarding social media. *Bulletin 2011-02 Guidance on Managing Records in Web 2.0/Social Media Platforms,*[vii] addresses noteworthy records management challenges.

The Texas Department of Information Resources is leading a social media collaborative project with 32 agencies, which will produce the Social Media Toolkit [viii]. The purpose of the toolkit is to provide a comprehensive resource to help Texas agencies initiate and improve their social media efforts. The toolkit provides information on social media strategy, policy guidelines, content, and operations. Policy guidelines are currently available on DIR's website.

Private organizations have also recognized the need for training on social media. The Association for Information and Image Management (AIIM) is a global, non-profit organization that provides independent research, education and certification programs to information professionals. AIIM now offers a Social Media Governance Program[ix] that teaches organizations how to take control of their social business assets.

Existing Laws and Regulations

Chapter 441, Subchapter L of the Texas Government Code outlines broad and inclusive records management requirements for state agencies and requires that each agency:

- Establish a records management program on a continuing and active basis (section 441.183)
- Appoint a Records Management Officer (section 441.184)
- Develop a records retention schedule (section 441.185)
- Identify and protect vital records (section 441.183)
- Transfer archival records to the State Archives, with the exception of university systems and institutions of higher education (section 441.186)
- Document the final disposition of records

Under Texas State Library and Archives Commission rules, each state agency must determine which records are "state records" and list these records on a retention schedule by records series, a group of related records with the same function and the same retention period.

Records are managed according to the substance of each record, and not by the record's media or the type of tool or format used to capture the records. Agencies have faced similar challenges with email management for years. Like email, social media such as Facebook, blogs, and wikis may or may not contain state records. All are simply tools used to capture the records.

Existing laws apply to all information that meets the definition of a state record – that is, information necessary to document the agency's business excluding convenience copies or certain other narrow exceptions. These statutes apply to state records in all formats, regardless of media. The burden of compliance lies with each agency.

DIR regulations cover the accessibility, structure, and functionality of state agency and higher education websites, as well as the accessibility of state agency and higher education information resources. *See* 1 Tex. Admin. Code Chapters 206, 213.

Issues with Managing Social Media

This is an area in which a "one size fits all" approach is unrealistic, if not impossible to implement. There are many factors to consider:

- The size of state agencies can range from a handful of workers in one office to a multi-tiered organization with a central office in Austin, regional offices, and local offices, as with the HHS agencies.
- The functions of each agency vary with its mission, and the use of social media by each agency will vary also with its functions; e.g., a state agency that issues licenses to individuals such as physicians or engineers may use social media only to post routine notices, whereas, an agency such as Texas Department of Transportation or Texas Parks and Wildlife Department may use social media for up-to-the-minute warnings of inclement weather or road or park closures.
- University systems and institutions and agencies of higher education are diverse and decentralized and may use social media for many different purposes aimed at many audiences. For example, the target audiences may range from prospective to enrolled students, potential or current faculty and staff, from the taxpayer to clients of the specific services of agencies of higher education, from donors to elected officials and state agencies, from patients of a medical and dental unit to ticketholders of an institution's athletics teams.

> *"One size fits all" is unrealistic for social media management systems.*

- Elected officials may use blogging to solicit input from the public regarding a new program, thus creating unique records that need to be maintained by the official's office.
- State agencies should be able to determine which media is their official source for information and their method(s) for communicating with their customers; e.g., the agency may publish the record copy on its website or choose to keep it in another format such as paper.

Retention

Specific issues concerning retention of social media:

- The volume of electronic information is growing at such a fast rate that we should examine closely what information we deem so valuable as to merit the cost of maintaining, especially for long-term retention. A majority of this information may not be state records (i.e., convenience copies of state records) or may be classified as transitory information subject to destruction when its purpose has been fulfilled.
- State agencies in Texas have been asked "to do more with less" for many years and may not have the funds to cover the cost of capturing and maintaining social media.
- Social media was not created to be a records management application; thus someone will have to be responsible for reviewing all information to: (1) determine if it is a state record, (2)

make a decision in which records series it belongs, (3) capture the information, (4) maintain the information, and (5) dispose of the information when the retention period expires.

Capturing and Preserving Social Media Records

Social media is dynamic and by its nature resistant to archiving. The content is ever-changing so it is hard to determine where it starts and ends. It can also be shared among platforms and services. If social media content qualifies as a state record, it is important to ensure that an accurate and authentic *original* copy is captured and saved as a record.

The following strategies may be used for capturing and preserving social media records. The methods will vary based on the platform used.

- Capturing all content with associated metadata as the complete record. This can be accomplished by using web harvesting technologies, such as Internet Archive's Archive-It tool, Heritrix. There are also a growing number of other third party offerings that will capture and retain all of your social media activity in one location. There is a cost associated, but typically agencies gain access to aggregated data from all their social networks, which can be searched and analyzed. North Carolina Department of Cultural Resources currently uses web harvesting technologies (see "Collection Procedures for State Government Web sites using Archive-It"[x]. Additional guidance can be found in "How to Harvest Social Networking Sites," published by the Society of American Archivists in *Archival Outlook: November/December 2010*[xi].
- Contracting with the host organization to retain the information as a record on your behalf; form Service Level Agreements (SLA) with the agency's social media providers to ensure that the hosted records are accessible.
- Relying on the individuals within your agency to file their externally posted records into a repository that can then be managed internally by the agency.
- Retaining the services of a backup provider for capturing and archiving records.
- Using software to capture and store content or take snapshots of record content.
- Copying and pasting into an agency word processing application. This method is not the most efficient or advantageous, but it is simple, free, and requires little training.

Recommendations

The Social Media Workgroup makes the following recommendations.

Each state agency that decides to use social media to communicate with its customers should develop a structure for its use that includes:

- Policies or guidelines regarding the agency's intended use of the social media. DIR's Social Media Toolkit project identifies ten key elements for a social media policy[xii]:
  1. Accessibility
  2. Privacy
  3. Public Information Requests
  4. Records Retention
  5. Security
  6. Third-Party Websites and Terms of Use

7. Moderation and Monitoring
8. Intellectual Property Rights and Ownership
9. Employee Use
10. Linking

- Clearly defined roles and responsibilities for its employees and customers. Agencies need policies that govern employee behavior and acceptable use of electronic and information resources.

In addition, the Department of Information Resources and Texas State Library and Archives Commission should continue to work jointly to provide templates, guidance, and best practice recommendations, along with training, for the use of social media by state agencies.

Part 4: Abstract of BPC Electronic Records Management Survey

The Best Practices Committee Survey of Digital Information Management was released in March 2012 and completed in May 2012. Its purpose was to determine current electronic records management practices of state agencies. It was sent to approximately 160 state agencies with 88 responding. Questions covered such topics as placement of the organization's Records Management Officer and operations of electronic records management programs.

Overall, the report shows that electronic records management is a necessary function that does not have adequate support from management, does not have enough resources (people, funding), operates separately from IT, and lets users decide record status.

Many of the responding agencies have electronic records programs in place, but many do not yet have policies. Email is most problematic because of volume and varying retention based on an arbitrary number of days or years, and social media is being addressed, but not managed, by all agencies.

The responses to the survey's last question (60) were enlightening. Agencies are interested in managing electronic records, but there is a constant struggle as they lack adequate support, staff and funding to do so. Agencies also seek current guidance and support from the Texas State Library and Archives Commission in simplifying electronic records management and accession of electronic records to archives.

Responses to question 60 include the following:

> *"The state does not have a comprehensive approach to managing, appraising, preserving and providing access to its electronic records. State agencies need this support and funding to ensure safety of data assets and accountability. Standardization and compliance measures are necessary."*
>
> "Email management is the largest single issue. Relying on end users guarantees non-compliance. Integration with document management systems can help, as can employment of big bucket retention policies, but the best measure for email management is an automated capture, classification, de-duplicating and retention management technology."
>
> *"We are buried so deep within the organization that many departments do not pay any attention to policies, rules, regulations or our educational efforts. Department Records Coordinators are sent to class with the expectation that they are to return and share with others in the department - this rarely occurs. Instead, department frequently sends the "new" employees to class who knows nothing about the department's records."*
>
> "Management of email – overwhelming amount of email with little guidance for employees in what should be retained as a state record and for how long. No email archive to save important records. All are stored in individual .pst files. Too little staff. Disposition depends on training and compliance of departmental liaisons, as RMO [records management officer] cannot locate all records needing disposition for all departments."
>
> *"Just when I think electronic records are tolerable, we get thrown into the social media mix and [have] to handle the information/records."*

"We are buried so deep within the organization that many departments do not pay any attention to [us]."

For the sake of brevity, we have not included the survey's extensive data in this report. However, the complete survey with responses is available from Sarah Jacobson, Texas State

Library and Archives Commission, who can be reached via email (sjacobson@tsl.state.tx.us), phone (512-463-5449) or fax (512-936-2306).

Endnotes

[i] Continuing professional education (CPE) program requirements for IRMs, http://www.dir.texas.gov/management/irm/irmcpe/Pages/IRMContinuingProfessionalEducation.aspx, accessed on 8/30/2012

[ii] Ravanbakhsh, Arian, "2010 Records Management Self-Assessment Report Released," http://blogs.archives.gov/records-express/?p=1121, 3/3/2011 accessed on 4/24/2012

[iii] "Is There a Return on Investment for Email Archiving?" White paper by Contoural, Inc., Mountain View, CA at: www.contoural.com, 2009.

[iv] Information provided by Erinn Barefield, Records Manager, Texas State Library and Archives Commission (TSLAC)

[v] Wilkins, Jesse, "Technologies for Managing Email," CDIA+, Hottopic, 2008 ARMA International

[vi] Definition of Social Media: http://www.merriam-webster.com/dictionary/social%20media, accessed 5/17/12.

[vii] "NARA Bulletin 2011-02: Guidance on Managing Records in Web 2.0/Social Media Platforms" http://www.archives.gov/records-mgmt/bulletins/2011/2011-02.html.

[viii] Department of Information Resources. Social Media: https://www.dir.texas.gov/management/strategy/SSP/Pages/pSocM1.aspx

[ix] AIIM Social Media Governance Training Program: http://www.aiim.org/Training/Certificate-Courses/Social-Media/Overview.

[x] "Collection Procedures for State Government Web sites using Archive-It." North Carolina Department of Cultural Resources: http://www.records.ncdcr.gov/Website/collectionProcedures_ArchiveIt_20060717.pdf .

[xi] "How to Harvest Social Networking Sites." *Archival Outlook: November/December 2010.* http://files.archivists.org/periodicals/Archival-Outlook/Back-Issues/2010-6-AO.pdf

[xii] "Social Media in Texas Government." Presentation by Jon Lee, Department of Information Resources presented to ARMA Austin Chapter meeting, April 2012: http://www.slideshare.net/Leejon1

RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL

Appendix B: University Records Management Committee

INFORMATION FOR THE RMICC BIENNIAL REPORT

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

Committee Update

EXECUTIVE SUMMARY

Since its formation, the University Records Management Committee (URMC) has made substantial progress on two critical projects which provide the framework for developing standards and useful tools for all records management professionals in Texas public universities: the Baseline Assessment Questionnaire for University Records Management Programs (BAQ); and the preliminary draft of the State of Texas University Records Retention Schedule (URRS). The Baseline Assessment Questionnaire helped the URMC gauge the implementation status of records and information management programs within the universities and/or university systems. Once completed, the BAQ produced nine areas upon which the URMC will concentrate; referred to as the URMC Strategic Directions. One of the strategic directions that emerged from the BAQ was the University Records Retention Schedule. Although still in development, the URRS has become one of the most important projects that the committee is working on; entirely due to the interest that records management officers at several of the universities expressed in their BAQ submissions.

Current Project Updates

BASELINE ASSESSMENT OF UNIVERSITY RECORDS MANAGEMENT PRACTICES/PROGRAMS (BAQ)

The Baseline Assessment Questionnaire (BAQ) for University Records Management Programs was the initial critical activity of the University Records Management Committee and was part of the initial purpose for forming the URMC. It is through this survey that the URMC has been able to collect and analyze data that can be utilized during the planning, development and execution of all URMC projects and planned deliverables.

The BAQ was formally distributed (via email) by the Records Management Assistance unit of TSLAC on August 23, 2011 and is now 100% completed. Analysis of the BAQ submissions produced nine strategic initiative areas upon which the URMC will concentrate its effort and resources. These initiatives are referred to as the URMC Strategic Directions.

URMC STRATEGIC DIRECTIONS

Analysis of the responses provided in the Baseline Assessment Questionnaire for University Records Management Programs produced nine strategic directions in which the URMC will devote its time and resources to developing practical records management resources to respond to the unique records and information management needs within institutions of higher education. Each of the nine directions are listed below along with brief descriptions and scope definitions.

RM Policies and Procedures

A critical baseline for any successful records and information management program is the policies and procedures that outline how the program will operate. The URMC plans to review existing policy/procedure models and devote time toward the development/review of policy and procedures templates and checklists that take into account administrative requirements for academic processes, processes involving student services, research project and grant documentation, and other processes common to universities and university affiliated health institutions.

Role and Scope of a University Records Management Program

Each university system or university currently implements its records and information management program in a variety of ways. This flexibility allows institutions to develop a program that fits perceived needs for records and information management. One of the primary purposes of the URMC is to develop standards, toolkits and best practices for a "model" university records management program. Such a model would be able to be utilized as a benchmarking tool for determining the effective placement and operation of an existing program, as well as a guide for implementing a program in organizations that have never adopted one formally. Results of the BAQ indicate that out of 25 responses to the question "To which of the following does your records management program report", 1 program reports to a Compliance office(4%); 5 report to a president/chancellor (20%), 2 to Information Technology (8%), 1 to the University Archives (4%), and 16 to "Other" (64%). Text responses for the 64% indicate a variety of reporting structures. The URMC will be taking an objective look at the most effective reporting structures for a program and developing best practices which will not require a complete change in reporting structure, but strongly encourage collaboration between the institution's records management program and the compliance, audit and information technology areas or departments.

Coordination of Records Management Requirements

In developing standards, toolkits and best practices for university records management programs, the URMC must identify a multi-faceted approach to records management in higher education that harnesses existing resources within each organization as vehicles for improving how the institution manages records. A generally accepted model within higher education is to utilize department-based coordinators for records management tasks at the department level. The URMC will be conducting a review of multiple

programs in Texas universities that utilize this model and determining how it can be best implemented at both a large and small university. In this, we expect to develop all of the following for general use: communication strategies and structure; records management advisory committees; models of enforcement, accountability and compliance standards; records retention schedules as well as the processes that contribute to their development.

Records and Information Management Training

One of the most important aspects of each program is its ability to educate employees about both the value of properly managing institutional information as well as their individual responsibilities (which vary by role) for managing records according to policy and procedure. The URMC will be reviewing all existing training programs within the public universities and determining which training principles could be adopted across all universities, as well as which need to remain unique to each institution. Additionally, the URMC will actively review multiple methods for training delivery and the effectiveness of each method.

Requirements for Electronically Stored Information

This area will be a collaborative effort that builds upon the work of the RMICC Best Practices Committee (BPC). The URMC plans to review the final report of the BPC and apply the findings of that committee to a university model, addressing the unique needs of higher education, specifically research activities as related to the management of electronic information. Additionally, the URMC will develop best practices for implementing electronic information management across line of business applications, imaging and shared storage drives along with feasible recommendations for documenting the disposition of information disposed from these systems. The URMC will also be developing a guide for enhancing communication between the records management programs and information technology organizations that is aimed at assisting both groups to understand each other's roles and needs.

Email Management

This area will be a collaborative effort that builds upon the work of the RMICC Best Practices Committee (BPC). While public universities do face many of the requirements and challenges in managing email that administrative agencies have, higher education overlays additional issues that a university records management program must address. This of course is in addition to the sheer size of many institutions, to the diversity of content across the institutions. The URMC will develop practical tools for implementing email management which are tailored to higher education. Such tools will include understanding and communicating requirements to employees as well as developing classification structures that accommodate employee needs and institution responsibilities.

Archival Processes and Appraisal

An effective records and information management program along with an effective process for preserving historical institution records is important. It is common for a records management program and the university archives to be independent of one another, yet the relationship between the two is critical to the institution being able to preserve records which document its history. Since institutions of higher education are authorized to adopt their own university archives functions, it is important that the URMC review existing collaborations between records management programs and university archives. We will be developing templates for procedures and process workflows by which historical records can be transferred to the archives as well as designing tools that records managers and archivists can utilize in the determination of archival status.

Social Media

This initiative will begin with a review of both the DIR Social Media Toolkit and the RMICC BPC findings for social media management. URMC's work will center primarily on the role of university records managers in the process of governance for social media within the institutions. This work will take into account the level of complexity and volume of social media sites within a university.

Digital Archives and Imaging

The digital archives and imaging initiative will allow the URMC to assess needs and requirements for institutional use of digital repositories for archival records which are not preserved in their physical format, as well as adoption of various imaging tools to improve productivity and collaboration within the institution.

STATEWIDE COLLABORATION OF UNIVERSITY RECORDS MANAGEMENT PERSONNEL

The URMC hosted a roundtable discussion for university records management professionals at the eRecords Conference on November 9th, 2011 from 3:45pm to 5:00pm. This session was facilitated by Chris Foster and Sarah Jacobson, URMC Co-Chairs, with the primary objective to showcase the completed and planned activities of the URMC. Included in this discussion was an analysis of the data received as part of the Baseline Assessment (BAQ) of University Records Management Programs and the URMC Proposed Directions that were gleaned from the BAQ data.

As the work of the URMC progresses, the committee will continue its outreach to university records management professionals statewide. Past URMC sessions, as well as responses to various questions of the BAQ demonstrate a continuing need for collaboration among university records management professionals. Such collaboration could come in a variety of formats; however the underlying principle is that the sharing of ideas, procedures and experiences will continue to be of utmost importance to the adoption of standardized guidelines and the success of records management programs in the public universities/systems.

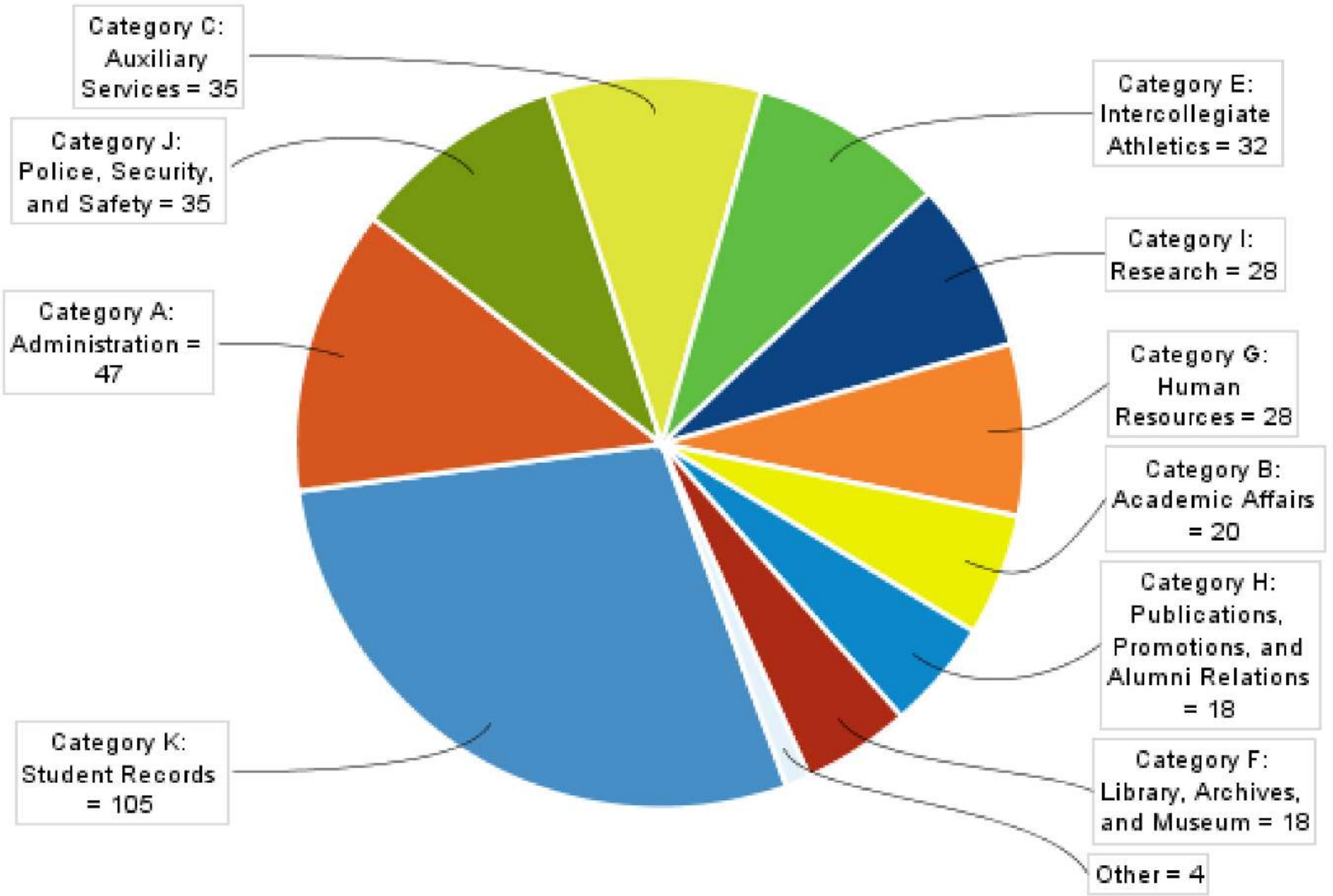
UNIVERSITY RECORDS RETENTION SCHEDULE (URRS) DEVELOPMENT

The Records Management Assistance (RMA) unit of the Texas State Library and Archives Commission and the URMC Steering Group are continuing work on the development of the Texas State Universities Records Retention Schedule (URRS). A draft of the URRS has been developed within the JIRA tracking system (UNT) and has been benchmarked against applicable laws, the existing Texas State Records Retention Schedule and applicable local government retention schedules (Local Schedules JC, PS, HR, PW, SD, GR, and LC), and guidelines of the American Association of Collegiate Registrars and Admissions Officers (AACRAO). The project benchmarking phase has been completed by RMA and the URMC Steering Group, and the URRS has been compared to the retention guidelines of selected Texas universities as well as the statewide retention requirements of Florida, Kentucky, Oklahoma, and South Carolina. During this phase, the URMC and TSLAC RMA decided against benchmarking against other university systems, instead using states which promote education related retention requirements.

Currently, the URMC is in discussion regarding the relationship between the State RRS and the URRS, specifically with regards to the URRS existing as a supplement to the State RRS rather than a replacement. Additionally, as the URRS moves through the review by member universities, the URMC will entertain discussion as to whether or not the URRS should be adopted as an administrative rule of TSLAC, or as a best practice guide. A possibility has been introduced which could allow a grace period where the URRS would exist as a resource for a short time prior to adoption as an administrative rule.

By the end of 2012, the URRS will be reviewed by all URMC member universities (the records management professional who is a member of the URMC). Upon completion of this review, the URRS will be presented to RMICC for approval and a motion to present to the Texas State Library and Archives Commission for final review and adoption.

Breakdown of Proposed URRS Sections



Committee Background

PURPOSE

The University Records Management Committee ("Committee" or "URMC") shall exist

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

In fulfilling this purpose, the Committee will evaluate

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

GOALS

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

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

MEMBERSHIP

Name	**Membership Type**	**Agency Represented**
Chris Foster, *Director of Institutional Records Management*	Co-Chair Steering Group	University of North Texas System
Sarah Jacobson, *Manager, Records Management Assistance*	Co-Chair Steering Group	Texas State Library and Archives Commission
Maryrose Hightower-Coyle, *Records Management Officer*	Co-Chair, Project Management Steering Group	UT Austin
Angela Ossar, *Government Information Analyst*	Steering Group Chair, URRS Subcommittee	Texas State Library and Archives Commission
Kris Toma, *University Archivist*	Steering Group	Texas State University
Vacant, *Records Management Officer*	Member	UT System Administration
Vacant, *Records Manager*	Member	Texas A&M
Anne Comeaux, *Assistant Library Director for Special Collections/Records Management Officer*	Member	UT Health Sciences Center at San Antonio
William Dodd, *Director of Purchasing and Records Management*	Member	UT Brownsville
Vacant, *University Archivist*	Member	UT Arlington
Sherry Lyons, *Records Management Officer*	Member	UT Health Sciences Center at Houston
R. Brooks Moore, *Managing Counsel - Governance*	Member	Texas A&M University System
Dusty Norwood, *Director of*	Member	UT Medical Branch

Distribution Services & Chief Records Management Officer		
Steve Woodall, *Director of Health Information Management*	Member	UNT Health Sciences Center at Fort Worth
Leota Hull, *Associate Vice President for Data Centers*	Member	UT Pan American
Lynn Whitfield, *University Archivist*	Member	Texas Tech University
Leonel Yanez, *Records Management Coordinator*	Member Steering Group	UT Brownsville
R. Michael Haynes, *Assistant Vice President*	Member	Tarleton State University
Kelli Styron, *Executive Director for Compliance, Evaluation and Institutional Reporting*	Member	Tarleton State University
Brenda Gunn, *Associate Director for Research and Collections*	Advisor	UT Austin
Zach Vowell, *Digital Archivist*	Advisor	UT Austin

Electronic Records Management Conferences and Training

Progress Report
2011 and 2012 Training Sessions Held

The Texas State Library and Archives Commission/State and Local Records Management Division (SLRM) offered several training sessions related to electronic records management. Electronic records management training is offered through face-to-face classes in Austin and at regional workshops around the state, online self-paced courses, and webinars.

Fiscal Year 2011

	Date	Place	State Attendees	Local Attendees	Total # Attendees
Miscellaneous RM Topics 01	9/22/2010	Austin	0	30	30
Miscellaneous RM Topics 02	9/26/2010	Austin	0	25	25
Miscellaneous RM Topics 03	10/1/2010	Cedar Park	0	16	16
E-Records Conference	10/15/2010	Austin	186	126	312
Miscellaneous RM Topics 05	10/26/2010	Tyler	0	30	30
Records Management Basics 01	10/27/2010	Austin	0	16	16
Miscellaneous RM Topics 12	11/16/2010	College Station	0	135	135
Records Management Basics 04	11/17/2010	Austin	0	15	15
Tips for a Successful Imaging Project - Live Webinar	12/2/2010	Online	14	48	62
State Records Management Basics 01	12/8/2010	Austin	12	0	12
Managing Your Email - Live Webinar	1/6/2011	Online	34	57	91
Miscellaneous RM Topics 14	1/13/2011	College Station	0	260	260
Miscellaneous RM Topics 15	1/14/2011	El Paso	0	40	40
Miscellaneous RM Topics 17	2/10/2011	Austin	0	45	45
Miscellaneous RM Topics 19	3/2/2011	Austin	0	22	22
Miscellaneous RM Topics 21	3/9/2011	Online	0	9	9
Miscellaneous RM Topics 23	3/10/2011	Hurst	0	40	40
Improving Your Disposition Program - Live Webinar	3/31/2011	Online	31	0	31
Miscellaneous RM Topics 24	4/1/2011	Aransas	0	45	45
Improving Your Disposition Program - Live Webinar	4/5/2011	Online	0	47	47
Miscellaneous RM Topics 26	4/19/2011	Austin	20	2	22
Miscellaneous RM Topics 31	5/12/2011	Austin	0	40	40
Identifying Your Essential Records - Live Webinar	6/2/2011	Online	20	42	62

Miscellaneous RM Topics 33	7/6/2011	Austin	0	50	50
Miscellaneous RM Topics 34	7/13/2011	Wylie	0	75	75
Managing Electronic Records 07	7/19/2011	Austin	2	22	24
TOTAL			**319**	**1237**	**1556**

Fiscal Year 2012

	Date	**Place**	**State Attendees**	**Local Attendees**	**Total # Attendees**
Miscellaneous RM Topics 01	9/1/2011	Bastrop	0	120	120
Tips for a Successful Imaging Project - Live Webinar	9/8/2011	Online	4	21	25
Miscellaneous RM Topics 02	9/29/2011	Kerrville	0	230	230
Identifying Your Essential Records - Live Webinar	10/6/2011	Online	7	32	39
Miscellaneous RM Topics 04	10/10/2011	Schertz	0	66	66
Miscellaneous RM Topics 05	10/10/2011	Waco	0	163	163
Miscellaneous RM Topics 07	10/10/2011	Palestine	0	50	50
Miscellaneous RM Topics 06	10/14/2011	Lubbock	0	60	60
Managing Electronic Records 01	10/18/2011	Austin	1	12	13
E-Records Conference	11/9/2011	Austin	172	74	246
Managing Electronic Records 02	11/15/2011	Austin	16	0	16
Managing Your Email - Live Webinar	12/8/2011	Online	59	51	110
Managing Your Email - Live Webinar	1/11/2012	Online	38	21	59
Miscellaneous RM Topics 08	2/8/2012	Waco	0	11	11
Miscellaneous RM Topics 09	2/8/2012	Austin	0	27	27
Managing Electronic Records 03	2/14/2012	Austin	0	5	5
Records Management Basics 01	2/22/2012	Angleton	0	46	46
Miscellaneous RM Topics 11	2/28/2012	Houston	0	100	100
Managing Electronic Records 04	3/13/2012	Austin	0	6	6
Records Management Basics 03	3/20/2012	Corpus Christi	0	42	42
Miscellaneous RM Topics 12	3/21/2012	Deer Park	0	106	106
Records Management Basics 02	3/22/2012	Midland	0	64	64
Records Management Basics 04	4/4/2012	Castle Hills	0	22	22
Records Management Basics 05	4/10/2012	Fort Worth	0	37	37
Managing Electronic Records 05	4/17/2012	Austin	0	17	17
Records Management Basics 09	5/2/2012	Brownsboro	0	23	23
Records Management Basics 06	5/3/2012	Plano	0	23	23
Records Management Basics 08	5/10/2012	Laredo	0	53	53
Managing Electronic Records 06	5/15/2012	Austin	13	0	13
Miscellaneous RM Topics 14	5/17/2012	Austin	96	0	96

Records Management Basics 07	5/30/2012	Canton	0	30	30
Miscellaneous RM Topics 16	6/7/2012	San Marcos	100	0	100
Miscellaneous RM Topics 15	6/8/2012	Nassau Bay	0	227	227
Managing Electronic Records 07	6/13/2012	Austin	0	3	3
Miscellaneous RM Topics 17	6/25/2012	Austin	0	105	105
Miscellaneous RM Topics 18	7/9/2012	Austin	50	0	50
Managing Electronic Records 08	7/11/2012	Austin	3	0	3
Shared Drive Management - Live Webinar	7/31/2012	Online	46	74	120
Managing Electronic Records 09	8/7/2012	Austin	0	25	25
Shared Drive Management - Archived Webinar	Ongoing	Online	8	5	13
Managing Your Email - Archived Webinar	Ongoing	Online	0	9	9
TOTAL			**613**	**1960**	**2573**

SLRM also offers training sessions on various topics other than electronic records management. Here is a list of current courses available:

1. State Records Retention Basics (state agencies only) – available face-to-face and online
2. Control Schedule Basics (local governments only) – available face-to-face and online
3. Archival Records Basics (local governments only) – available face-to-face and online
4. Managing Electronic Records – available face-to-face and online
5. Emergency Preparedness – available face-to-face and online
6. Improved Shared Drives and Filings Systems – available face-to-face and online
7. Forms Management – available face-to-face and online
8. Disaster Recovery and Salvage for Paper-based Records – Webinar
9. Improving Your Disposition Program – Webinar
10. Identifying Your Essential Records - Webinar
11. Managing Your Email – Webinar
12. Preservation Basics – Webinar
13. Records Inventory and Appraisal – Webinar
14. Retention Schedule Review Process for State Agencies – Webinar
15. Shared Drive Management – Webinar
16. Storage Facilities – Webinar
17. Tips for a Successful Imaging Project – Webinar
18. Transferring Records to the State Records Center – Webinar
19. Understanding the State Archives – Webinar

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

- Texas Municipal Courts Education Center (TMCEC). SLRM provided Disaster Planning sessions at all of their seminars (October 2010-June 2011).

- Texas Division of Emergency Management. SLRM provides essential records training at quarterly emergency management workshops.
- Texas Education Agency. SLRM provides records management training at Charter School orientation sessions.
- Council of State Archivists, Intergovernmental Preparedness for Essential Records (COSA/IPER). SLRM provided essential records training via webinars from October 2010 through February 2011.
- SLRM is routinely asked to present at professional conferences including Texas Association of Fire and Emergency Districts, Texas Court Clerks Association, Texas Municipal Clerks Association, Texas Association of Appraisal Districts, Texas Emergency Management Conference, Texas State Human Resources Association, Texas State Agency Business Administrators' Association, Texas Association of County Auditors, Texas Association of Counties, and County and District Clerks Association of Texas.

Texas State Library and Archives Commission
2014-2015 LAR Exceptional Item Request

Item Name: Preservation and Access Critical Needs – Texas Electronic Records Archive

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

Requested amount: FY2014 - $200,000; FY2015 - $250,000 for the following:

- Two Electronic Records Specialists FTEs
- Travel, supplies, equipment and professional fees and services

Description / Justification:
Electronic records management in Texas has reached a crisis stage, according to the state Records Management Interagency Coordinating Council's October 2010 biennial report. The agency concurs that critical electronic data documenting state government operations and the state's history are being lost.

The reasons are two-fold:
1. State agencies are not equipped to manage or preserve born-digital and stored-digital records with long-term value on their own, and
2. TSLAC lacks the resources necessary to fulfill its statutory obligation to indentify, acquire, preserve & provide access to archival state records in electronic formats.

This agency needs funding to plan and develop a comprehensive electronic records program to preserve archival records for state agencies, including the necessary hardware and software to permit transfer of and access to the content of those records. A centralized digital repository will enable TSLAC to ensure the preservation of valuable state records in the most effective, efficient and economical way; address concerns from a SAO Report critical of TSLAC's inability to accept and store digital records; and fulfill requests from state agencies for electronic records management and archival services.

To provide the greatest opportunity for success, two FTEs with the requisite knowledge, skills and experience are needed to work with TSLAC, state agency partners, and vendors to develop a viable plan for dealing with the long-term management and preservation of permanently valuable electronic records; to support ongoing change management efforts at TSLAC and other agencies during and after implementation; and to provide electronic records guidance and training to the existing records and archival staff.

External/Internal Factors:
Externally, public awareness of reporting, security and privacy issues regarding records management are increasing due to laws such as Health Insurance Portability and Accountability Act, Sarbanes Oxley, Family Educational Rights and Privacy Act, and the Federal Rules for Civil Procedures. In addition, the public expects state government to document its actions and make the record of government available to taxpayers over time in the interests of transparency. Increasingly those expectations include electronic availability of records, since many are born-digital. Lack of appropriate recordkeeping processes puts agencies at risk and limits their ability to fulfill their missions and demonstrate accountability to the public. These issues require more effective long-term management and preservation of electronic records of the State of Texas. TSLAC is the logical agency to operate an electronic archives and records management program; but it will need cooperation from other agencies. Once the program is established, ongoing operational costs could be supported by agencies participating in the program and its central repository.

Internally, the current inability to accept and store electronic records and archives should be addressed to ensure these state resources are appropriately preserved by the State of Texas. Current TSLAC staff lacks the technical skills and resources to develop and sustain an electronic records/archives program for the State of Texas. There is no funding in place at present to develop an enterprise-wide program to meet the needs of state agencies to store and manage electronic records, as well as establish an appraisal process and a sound method of migration of electronic records of archival value.