



OHIO ELECTRONIC RECORDS COMMITTEE MEETING MINUTES

<http://www.ohiohistory.org/ohiojunction/erc/>

DATE: 20 MAY 2004

LOCATION: OHIO HISTORICAL CENTER

COMMITTEE MEMBERS					
Interim Chair:	Richard Whitehouse	✓			
Members:	Doug Alt			Mary Beth Parisi	✓
	Deborah Archie			John Runion	✓
	Sol Bermann			Mark Schmidbauer	✓
	John Blair	✓		Karen Shaffer	
	Galen Bock			Christian Selch	✓
	Kevin Callaghan			Eric Silver	
	Tamar Chute			Martin Susec	
	Judy Cobb	✓		Pari Swift	✓
	Carol Crofut			Carol Thomas	✓
	Barbara Floyd	✓		Dino Tsiboruris	
	Rai Goerler	✓		Daryl Weir	
	Yvonne Harris			Jane Wildermuth	✓
	David Landsbergen			Tony Yankus	
	Andrea Lentz				
Alternates:					
GUESTS:					
Laurie Gemmill	George Parkinson	Rodger Whaley			

I. Welcome and Introductions

Interim-Chair Richard Whitehouse welcomed the members of the ERC to the meeting. Members present introduced themselves and stated the agency or local government they represent.

II. ERC Relationship to the Ohio Historical Society

Whitehouse welcomed George Parkinson, Archives/Library Division Chief, to the meeting to discuss the continuing relationship between the ERC and the Ohio Historical Society (OHS). Dr. Parkinson expressed his interest in continuing to partner with the ERC in its work and to provide free meeting and parking space. The work of the ERC is valuable to OHS, the State of Ohio, and the citizens of Ohio.

Dr. Parkinson introduced Laurie Gemmill as the new State Archivist and Pari Swift as the new Assistant State Archivist, both effective June 1, 2004. Gemmill and Swift will be active participants representing OHS on the ERC.

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The Draft Ohio 2010 Strategic Plan, produced by the Ohio Historical Records Advisory Board (OHRAB), states that OHRAB should collaborate with the ERC to address the challenges of electronic records. One action to meet that objective is to establish an official OHRAB representative to the ERC. Barbara Floyd, currently a member of both OHRAB and the ERC, may be formally appointed by OHRAB as the liaison between the groups.

III. Discussion of Potential By-laws

Whitehouse distributed minutes from the January 2004 meeting and draft by-laws, to be used as a starting point from which to build. He then called for comments on the draft by-laws. The following comments were discussed:

- Article II - Purpose- This is phrased in a way that makes it sound like the ERC members are representing something. It needs to include language that makes it inclusive of persons with interest in the field.
- Article III, Sections 1-3 - Individual vs. Institutional Membership
 - Who within an entity would make the decision as to who would represent the organization?
 - Some members cannot claim to represent their entire organization.
 - There are some institutions that the ERC should have consistently represented. There are also people who have a personal interest in the work of the ERC. The ERC needs to develop a list of agencies to be represented and individuals with specialized interests that would be of benefit to the ERC.
 - Should private entities or individuals representing be members? Their input can be very valuable. They should be invited to meetings and encouraged to participate, but they should not have voting privileges. Mary Beth Parisi offered to share the Supreme Court of Ohio's committee guidelines.
- Article III, Section 4 (a) - Termination of Membership- as currently worded "failure to attend or be represented at meetings for a period of six months" could potentially terminate membership for those missing one meeting. It was suggested that it be worded "failure to attend or be represented at meetings for two consecutive meetings."
- Article IV, Section 2 (a) - Frequency of meetings
 - Two meetings should be a minimum, with more called if needed.
 - Meeting three times each year could provide more motivation to attend and participate because it keeps the committee's work fresh.
 - Is there enough content to justify meeting three times each year? If we meet to discuss the progress of the various subcommittees, the ERC would have enough content to justify the meetings. It would also allow the subcommittee's work to be viewed and critiqued by a larger number of people. Active subcommittees could meet on the same day as the general ERC meeting to cut down on travel time and expense.



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- The main technical guidelines have been produced, so there may not be enough to justify additional subcommittees and meetings.
 - One suggestion for a new subcommittee is to create a guideline on how to formulate retention schedules to incorporate electronic records.

IV. Changing the ERC's Mission and Purpose

Mary Beth Parisi, Manager of Technology Policy and Planning for the Supreme Court of Ohio, suggested that the ERC should be making policy recommendations because it is not effective to have each agency make its own policy. That was countered with the fact that the ERC does not have the authority to enforce policy. Therefore, the ERC tries to produce general products/guidelines which agencies can adapt to meet their specific needs. The ERC does, however, need to work on communicating to and working with various entities about ERC products. Other members suggested that the enforcement of policy is the responsibility of the IT Policy Committee, within the Department of Administrative Services (DAS).

Does the ERC need to reconsider its goals to be more than just education, or to instead address standards and compliance in the field of electronic records? The guidelines produced by the ERC should be something various entities should be able to implement. Barbara Floyd noted that it would not be possible to create one product able to be implemented in all of Ohio's state agencies and local governments because of the vast differences in computer systems.

Rai Goerler suggested that the ERC needs to survey and evaluate which ERC documents are and are not used, who they are used by, what computer systems are used, what resources are available, and what is the IT environment throughout the state. Goerler offered to speak with ERC member David Landsbergen about giving a presentation at the next ERC meeting about creating a survey task force.

Questions were brought up as to whether the ERC is a leader? Is the ERC primarily concerned with education? If the ERC's products were policy, that would fulfill the education component of the mission. The ERC needs to view itself as a resource for state agencies.

Interim-Chair Whitehouse called for a motion to establish a By-Laws Committee. Parisi made the motion. It was seconded by John Runion. All were in favor of establishing a By-Laws Committee.

V. Education Committee

The ERC should have an understanding of the electronic records environment. It needs to survey those entities that use the ERC products and identify the risks. The direction that the ERC takes and the products that it produces should be based on the results of the survey. However, the ERC does not have the funding to take on this level of assessment. The Committee would need executive sponsorship and would have to seek local volunteers. Perhaps members could begin gathering information from within their own organizations.



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One suggested goal of the Education Committee would be to disseminate information. Further discussion was tabled until the ERC develops a clear mission statement or business plan.

Other suggestions were to instead refer to the Education Committee as the Communication Committee or the Strategic Planning Committee. There was also a suggestion that a Steering Committee could be formed and charged with figuring out what in what direction the ERC should move.

It was agreed that although the ERC should not become static, the formation of committees should wait until the ERC establishes its mission.

VI. Discussion of ERC Mission

Questions were raised about how the ERC can be more effective in its mission and with working as partners. The Committee needs to have an understanding of what other statewide activities are going on. Working with other groups helps the ERC build its knowledge base and both partners gain additional visibility. The two members of the ERC who are policy builders, Parisi and Christian Selch, could offer insight into how policy development works within their agencies.

When asked if their agencies made use of any of the ERC guidelines, Parisi and Selch replied that they were not to that point yet. It is not that the ERC guidelines are not good, but that their agencies are looking for guidelines that fit the purposes of their agencies. ERC policies are too specific and require another step. For a statewide policy to be in place, all the local levels have to be in the same place technically. Therefore, basic standards need to be in place stating what technical levels are needed to meet the guidelines. In other words, standards are needed that allow technology to meet the policies. Selch would be willing to put together a phone conference or presentation at the next meeting concerning policy planning and implementation.

Although the ERC does not have an official mandate to implement and enforce policy, the Committee seems resistant to making official recommendations and passing those recommendations on to those persons who can push for policy and implementation.

The basic issue to be decided between Committee members concerned whether the ERC should continue along the same lines from which it was originally formed, but step it up a level or whether the ERC should go in a different direction by taking more of a leadership role in creating policy and legislative recommendations instead of guidelines.

The basic mission of the ERC, along with its basic needs and membership components need to be addressed before the Committee can begin to discuss By-Laws. The ERC needs to decide the need for its services, the expertise of its members (records management, preservation, passing legislation, etc.), and whether the ERC can fulfill the expressed needs. The ERC needs to get a core group of members together to brainstorm. Executive level persons who should be a part of these discussion include representatives from DAS, the State Auditor's Office and the State Library. This core group of members should schedule one-on-



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one meetings with those members that do not regularly attend meetings in order to get their input as well.

VII. Closing

The By-Laws Committee established early in the meeting was temporarily tabled pending further discussion via the ERC listserv as to how the ERC wishes to proceed. Whitehouse urged members to use the listserv to discuss the matters that were brought up in the meeting and to think about them in terms of by-laws. Members were also urged to draft alternate missions and goals.

A date for the next meeting has not be established. Whitehouse will send proposed dates to the listserv.