

Agency Checklist 2.0



This document gives Information Resources Managers (IRMs) in state agencies and institutions of Institutions of Higher Education (IHE) a checklist of their responsibilities and duties. Not all categories listed are required by IHE. *

Information Resources Manager (IRM) Role

Category	Item	Source	IRDR Ref	Agency?	IHE?	Checklist Notes
IRM Authority	1. IRM is a senior official within the organization and reports directly to a person with a title functionally equivalent to ED or deputy ED and has been vested with the authority necessary to fulfill the IRM duties.	See Section 2054.075(b), Gov. Code and IRM Designation Letter	2.06.01	Y	Y	
IRM Responsibilities	2. IRM will oversee the Biennial Operating Plan (BOP) preparation, subject to instructions from the Legislative Budget Board (LBB)	See Section 2054.075(b), Gov. Code and IRM Designation Letter		Y	Y	
IRM Responsibilities	3. IRM will provide input into the Agency Strategic Plan	See Section 2054.075(b), Gov. Code and IRM Designation Letter		Y	N	
IRM Responsibilities	4. IRM may prepare or have prepared information resource vulnerability reports as required by DIR	See Section 2054.075(b), Gov. Code and IRM Designation Letter		Y	Y	
IRM Responsibility	5. IRM will support the provision of information security	1 TAC 202.20 (3) and 1 TAC 202.70 (3)		Y	Y	
IRM Responsibilities	6. IRM responsible for overseeing the acquisition and management of the organizations information resources	See Section 2054.075(b), Gov. Code and IRM Designation Letter		Y	Y	

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IRM Responsibilities	7. IRM responsible for reporting on the information resource (IR) investment and benefits to executive management, DIR, the Legislature, and the Legislative Budget Board;	See Section 2054.075(b), Gov. Code and IRM Designation Letter		Y	Y	
IRM Responsibilities	8. IRM responsible for adopting and executing IR standards, policies, practices, and procedures;	See Section 2054.075(b), Gov. Code and IRM Designation Letter		Y	Y	
IRM Responsibilities	9. IRM responsible for complying with legislative mandates.	See Section 2054.075(b), Gov. Code and IRM Designation Letter		Y	Y	
IRM CPE	10. Will comply with IRM continuing education requirements provided by DIR (Earn and report hours to DIR)	See 1 TAC Sections 211.11, 211.21 & IRM Continuing Education Requirements	2.06.02	Y	Y	

Security

Category	Item	Source	IRDR Ref	Agency?	IHE?	Checklist Notes
Security	1. Each agency must have annual reviews of their security program for compliance with the 1 TAC 202 Security Standards.	See 1 TAC Sections 202.20(7) & 202.70(7)	2.01.01	Y	Y	
Security	2. Each agency must perform and document an annual assessment of High Risk information resources, and a biennial assessment of Medium/Low Risk information resources.	See 1 TAC Sections 202.21(a)(6) & 202.71(a)(6)	2.01.02	Y	Y	
Security	3. All authorized users of agency information resources must be required to formally acknowledge that they will comply with security policies and procedures before they are granted access to information systems.	See 1 TAC Sections 202.22(3)(C) & 202.72(3)(C)	2.01.03	Y	Y	

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Security	4. Each agency must use the network security services provided through DIR's NSOC when possible and may not purchase network security services unless DIR cannot provide them at a comparable cost (IHEs Exempt).	See Sections 2059.102(c), 2059.102(d), Gov. Code	2.01.04	Y	Y	
Security	5. Each agency must remove restricted personal information from any associated storage device before selling or transferring data processing equipment to a person who is not a state agency or other agent of the state.	See Section 2054.130, Gov. Code	2.01.05	Y	Y	
Security	6. Each agency must designate an information security officer.	See 1 TAC Sections 202.20(1), 202.70(1)	2.01.06	Y	Y	
Security	7. Each agency must utilize the DIR monthly security incident reporting system.	See 1 TAC Sections 202.23(b)(2), 202.73(b)(2)	2.01.07	Y	Y	
Security	8. A state agency that owns, licenses, or maintains computerized data that includes sensitive personal information shall comply, in the event of a breach of system security, with the notification requirements of Section 521.053, Business and Commerce Code.	See Business and Commerce Code, Title 11, Section 521.053	2.06.08	Y	N	

EIR Accessibility

Category	Item	Source	IRDR Ref	Agency?	IHE?	Checklist Notes
EIR Accessibility	1. Each agency must comply with all listed accessibility standards for products and services as defined in 1 TAC 213.10-213.16 or 1 TAC 213.30-213.36.	See 1 TAC Sections 213.10-213.16, 213.30-213.36	2.03.01	Y	Y	
EIR Accessibility	2. Each agency must comply with all Accessibility Compliance Exceptions and Exemptions provisions as defined in 1 TAC 213.17(1) -(4) or 1 TAC 213.37(1) -(4).	See 1 TAC Sections 213.17(1) -(4), 213.37(1) -(4)	2.03.02	Y	Y	

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EIR Accessibility	3. Each agency must comply with Accessibility Procurement provisions as defined in 1 TAC 213.18(b)-(g) or 1 TAC 213.38(b)-(g).	See 1 TAC Sections 213.18(b)-(g), 213.38(b)-(g)	2.03.03	Y	Y	
EIR Accessibility	4. Each agency must comply with Accessibility Training and Technical Assistance provision as defined in 1 TAC 213.19(b) or 1 TAC 213.39(b).	See 1 TAC Sections 213.19(b), 213.39(b)	2.03.04	Y	Y	
EIR Accessibility	5. Each agency must comply with Accessibility Survey and Reporting Requirements provision as defined in 1 TAC 213.20(b) or 1 TAC 213.40(b).	See 1 TAC Sections 213.20(b), 213.40(b)	2.03.05	Y	Y	
EIR Accessibility	6. Each agency must comply with all EIR Accessibility Policy and Coordinators provisions 1 TAC 213.21(b)-(f) or 1 TAC 213.41(b)-(f).	See 1 TAC Sections 213.21(b)-(f), 213.41(b)-(f)	2.03.06	Y	Y	

Websites

Category	Item	Source	IRDR Ref	Agency?	IHE?	Checklist Notes
Websites	1. Each agency must comply with all state website accessibility standards and provisions as defined in 1 TAC 206.50 or 1TAC 206.70.	See 1 TAC Sections 206.50(e), 206.70(e)	2.02.01	Y	Y	
Websites	2. Each agency must publish a privacy notice on its homepage or Site Policy page, and on key public entry points, addressing all listed standards in 1 TAC 206.52(c).	See 1 TAC Sections 206.52, 206.72	2.02.02	Y	Y	
Websites	3. Each agency that has a website that requires user identification must conduct a transaction risk assessment and implement appropriate privacy and security safeguards prior to providing access to information services on the site.	See 1 TAC Sections 206.52(d), 206.72(d)	2.02.03	Y	Y	
Websites	4. A web page containing a form that requests information from the public must have a link to the associated privacy notice.	See 1 TAC Sections 206.52(e), 206.72(e)	2.02.04	Y	Y	

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Websites	5. Each agency must comply with listed standards related to linking to, using, or copying information from agency websites, and protecting the personal information of the public who access agency information through agency websites.	See 1 TAC Sections 206.53(a), 206.73(a)	2.02.05	Y	Y	
Websites	6. All key public entry points must comply with listed standards applicable to linking to agency websites as required by 1 TAC 206.53 or 1 TAC 206.73.	See 1 TAC Sections 206.53, 206.73	2.02.06	Y	Y	
Websites	7. A state agency that posts a high-value data set on its website shall provide DIR with information needed to post a link to the high-value dataset on Texas.gov.	See 1 TAC Sections 206.55, 206.75	2.02.07	Y	Y	
Websites	8. Each agency must comply with suggestions for agency cost savings provisions as defined in 1 TAC 206.56.	See 1 TAC Sections 206.56	2.02.08	Y	N	

Electronic Transactions and Signed Records

Category	Item	Source	IRDR Ref	Agency?	IHE?	Checklist Notes
E-Rec	1. Each agency must meet the minimum requirements for the policies and procedures required for the management of all electronic state records as defined by 13 TAC 6.93	See 13 TAC Sections 6.91-6.97	2.05.01	Y	N	
E-Rec	2. Each agency must meet the minimum general requirements for the management of all electronic state records.	See 13 TAC Sections 6.91-6.97	2.05.02	Y	N	
E-Rec	3. Each agency must meet the minimum requirements for the retention of all electronic state records.	See 13 TAC Sections 6.91-6.97	2.05.03	Y	N	
E-Rec	4. Each agency must stay up-to-date on Texas State Library and Archives Commission resources for electronic state records.	See 13 TAC Sections 6.91-6.97	2.05.04	Y	N	
E-Rec	5. Each agency must meet the minimum requirements for the final disposition of all electronic state records.	See 13 TAC Sections 6.91-6.97	2.05.05	Y	N	

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E-Rec	6. Each agency must meet the minimum requirements for the maintenance of electronic storage media, electronic transactions, and signed records for all electronic state records.	See 13 TAC Sections 6.91-6.97	2.05.06	Y	N	
E-Rec	7. Each agency must ensure that electronic records in its custody that are archival state records or that need archival review are properly preserved.	Section 441.186, Gov. Code and Section 441.180(2), Gov. Code	2.05.07	Y	Y	

Project Management (and Framework)

Category	Item	Source	IRDR Ref	Agency?	IHE?	Checklist Notes
Project Management	1. The agency shall institute, approve, and publish an operating procedure that communicates an agency-wide approach for information technology project management practices, meeting listed standards.	See 1 TAC Sections 216.10, 216.20	2.06.03	Y	Y	
Project Management	2. The agency shall satisfy all requirements of the Texas Project Delivery Framework for every major information resources project.	See Sections 2054.301 through 2054.307, Gov. Code	2.06.04	Y	N	
Project Management	3. The agency shall satisfy all requirements of the Texas Project Delivery Framework for major contracts.	See Sections 2054.301 through 2054.307, Gov. Code	2.06.05	Y	N	

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IT Procurement

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IT Procurement	1. Unless it is an IHE, each agency must purchase IT commodity items in accordance with the IT commodity purchasing program guidelines.	See 1 TAC Chapter 212	2.06.06	Y	Y	
IT Procurement	2. If the agency makes substantive changes to a planned procurement schedule, it shall notify the Legislative Budget Board	Section 2054.1015 (e), Gov. Code		Y	N	
IT Procurement	3. Each state agency shall use the hardware configurations specified under Subsection (e) in developing the agency's planned procurement schedules.	Section 2054.1015 (f), Gov. Code		Y	N	

GIS

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GIS	1. If the agency originates or adds content to a digital geospatial dataset and distributes it to other agencies or the public, it must offer the dataset in at least one format that is readily usable by a variety of GIS software packages.	See 1 TAC Chapter 205	2.04.01	Y	N	
GIS	2. If the agency acquires a federal or other public domain geospatial dataset, it must make it available to other agencies and the public via the agency's website and/or the Texas Natural Resources Information System.	See 1 TAC Chapter 205	2.04.02	Y	N	
GIS	3. If the agency originates or adds content to a digital geospatial dataset and distributes it to other agencies or the public, it must prepare standardized metadata documentation for each dataset, and distribute this metadata with the dataset.	See 1 TAC Chapter 205	2.04.03	Y	N	

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Telecommunications

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Communications	1. If the agency holds an open or closed meeting by video conference call, the systems used must comply with the approved standards.	See 1 TAC Chapter 209	2.06.09	Y	N	
Communications	2. Each state agency shall comply with the rules, policies, standards, and guidelines the department adopts under this section.	Section 2054.203 (f), Gov. Code		Y	N	

Planning and Reporting

Category	Item	Source	IRDR Ref	Agency?	IHE?	Checklist Notes
IRDR Submission	1. No later than March 1 st of each even-numbered year, a state agency shall complete a review of the operational aspects of the agency's information resources deployment following instructions developed by the department, with the review.	Section 2054.0965, Gov. Code		Y	N	
BOP	2. Each agency must submit an operating plan to the Legislative Budget Board, the department, and the QAT each state fiscal biennium in accordance with direction of the Legislative Budget Board.	Section 2054.100(a), Gov. Code		Y	N	
BOP	3. An agency identified on a list under this subsection shall develop a corrective action plan approved by the department that specifies the manner in which deficiencies will be corrected before components of or amendments to the agency's biennial operating plan may be approved by the Legislative Budget Board.	Section 2054.102, Gov. Code		Y	N	
BOP	4. Each state agency shall send a copy of its biennial operating plan and any amendments to the plan, as approved by Legislative Budget Board, and state auditor, no later than the 30 th day after the Legislative Budget Board approves the plan or amendment, as applicable.	Section 2054.103, Gov. Code		Y	N	

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