**Public Records Committee (PRC)**

Chinook Building, Room 115

December 19th, 2017

3:30-4:30 pm

**Attendance:** Below are the attendees of the meeting:

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| **Organization** | **Name** |
|  |  **Staff** |
| Adult & Juvenile Detention | Andrea Williams (Phone) |
| Archives, Records Management and Mail Services  | Deb Kennedy; Gail Snow; Ellie Letterman |
| Assessor’s Office |  |
| Community & Human Services |  |
| Department of Public Defense |  |
| District Court | Kimberly Hamm |
| Elections |  |
| Executive Services |  |
| Executive Services: Records & Licensing Services | Norm Alberg |
| Information Technology (KCIT) |  |
| Judicial Administration | Denise Fuseini |
| KC Council |  |
| Natural Resources & Parks | Cynthia Hernandez |
| Office of the Executive |  |
| Permitting & Environmental Review | Kim Layman |
| Prosecuting Attorney |  |
| Public Defense | Alex Harris |
| Public Health |  |
| Public Records Officer, Executive Branch | Shelby Miklethun; Stephanie Santos |
| Sheriff’s Office |  |
| Superior Court |  |
| Transportation |  |

1. Introductions

Chair, Norm Alberg, called the meeting to order at 3:34pm; all present and on the phone introduced themselves by name and office they represent.

1. Approval of Minutes

Andrea Williams moved to have the minutes of the November 7, 2017 meeting approved as written. Cynthia Hernandez seconded the motion with a notation that a couple very minor changes were completed just before the December 19 meeting was called. The minutes were unanimously approved as amended.

1. Records Management Update

Gail Snow provided the Records Management update with a couple items to note. The new Change Management Manager has just recently (as of 12/18) joined the Records Management Program – Eric Melchior. Eric will be the point-person for the new Content Manager (CM) electronic records system. He is tasked with creating a communication strategy, training guidance, deployment, and addressing the “people-side” of the system migration.

Records Management is preparing for the second data-pass: moving content from the old KC ERMS system to CM (Content Manager?) – to test and compare the metadata. The first data pass and testing included 2 million records and all box, user, office and other metadata. Gail noted that there have been inconsistencies and issues identified from the first pass, but the Content Manager Migration Project Team is currently working on this. The second pass will include all 13 million electronic records. Testing will included examining search return speed, a well-documented issue with the previous KC ERMS system. So far, testing speed and search reliability have shown a remarkable improvement from KC ERMS. Though not originally planned for, there will be a 3rd pass which, according to the KCIT project manager Dan Anderson, will be absorbed into the current schedule with go live still set for April 2018.

 Gail also brought up for consideration that the new CM system does not require the rigid matter-folder hierarchy required in the KC ERMS system. Moving away from this is under consideration as the project team looks to develop a new file structure design, and the Records Management Program is seeking feedback from PRC members about whether the matter-folder structure is preferred. Stephanie Santos asked if this change will affect the Prosecuting Attorney’s Office, as well. Gail explained that she had a conversation with Karen Todd and according to Karen the PAO is ok with moving away from the matter-folder structure. Gail also noted that if any agency really prefers the old structure, it is possible to allow some agencies to retain it.

1. KCIT Process for Handling Public Records Search – final product

Jamie Holter was not present so Cynthia provided a brief update that Jamie has continued to work on the new KCIT search tool and is in the process of testing. Cynthia let members know that if they are interested, and if their agency is in the Executive Branch, they are welcome to participate in the testing, which is expected to happen in January. Members are to let Jamie or Cynthia know as soon as possible if they are interested.

1. PRC 2017 Work Plan, Highlights, Calendar Review

Cynthia began the work plan review with the Onboarding Employee Records Management Policy indicating that the PRC needs to take action on this item. Deb informed members that the policy has made it through to the Executive Policy Group and is ready to go to the Executive for signature. Deb moved that the PRC approve the Onboarding Employee Records Management Policy to be transmitted to the County Executive for final approval and signature. Andrea Williams seconded the motion. The motion was unanimously approved by members. Deb added that the transmittal is prepared and ready to be sent to Norm Alberg and then Tom Koney.

Regarding the Legal Hold Policy, Cynthia explained that there has been some progress made. Stephanie Santos, the lead of the Legal Hold Policy Subgroup, provided details: there has been some shift in thought regarding roles in relation to the policy, but currently the group is setting that focus aside for now and taking a closer look at the spreadsheet – the Legal Hold Inventory (see handout). The policy team has met with the PAO to review the file system currently used by the PAO, and in an effort to decipher how best to capture the information and process they have. Stephanie learned that currently each section in the PAO has a different inventory control procedure, but they are also looking to overhaul and standardize all agency processes. Stephanie also had the chance to review their databases to see how they are currently using and organizing information.

Cynthia added that while we often write the policy and then ensure that our processes fit the policy, we are this time testing processes and determining the policy elements needed from that testing. Crafting policy around current process provides the PRC the opportunity to review the current process first and then begin developing policy with an understanding of the current process. This will allow the Legal Hold Policy group to first review the inventory and see if there are any more holds to add or some that should include PRC members’ agencies – with the intent to revise the list to reflect the reality of the process and where things currently stand. The current list was patched together using KC ERMS holds data, and the Records Management Program’s list. Cynthia offered that the list itself is a “win” because there has never been any collection of enterprise-wide legal hold data prior and additionally provides information for the PAO to review and validate.

Cynthia remarked that as of yet, there has never been a hold lifted. Shelby mentioned that there in fact has been one hold lifted. Cynthia indicated she is hopeful that this will prompt more to be lifted, and is considering that jumping into the process – creating this inventory and working with the PAO to learn their process - will guide the policy writing.

Cynthia is asking that PRC members review the inventory and add any information related to the specific holds, or any additional data columns to consider adding. For example, columns for lead attorney, departments hold affects, when issued, when lifted, could all potentially be helpful. Shelby suggested a column for department contact. Cynthia added that the lead or contact for departments is one of the information pieces with which they are struggling. It is uncertain whether there is there a lead for *each* department or whether ARMMS should take that roll. Shelby also questioned whether there should be a department lead, often holds span multiple departments and a single lead would not be practical. Cynthia suggested, then, a possible column to add would be to identify whether a lead is needed or not.

1. Annexation

Shelley Harrison, the lead for the Annexation Policy, was not present so Cynthia summarized recent efforts. There is still a difference of opinion on the management of county records for annexed areas, thus progress on the policy itself has not been made. The discussion primarily rests now on clarifying what must be done according to RCWs, what the County should do, and what best practice looks like. At this point all parties need to meet all together and bring forth the differences. It is the hope of the Annexation Group working on the policy that standard work is developed countywide for the process. Currently there is no standardization so record keeping, and in particular Public Records Request processes, is unclear and practices vary around the county.

Cynthia summarized that at this point they are still working on the process and this item will remain on the work plan as the group continues to push forth with this issue.

1. 2018 Work Plan

Cynthia explained that the 2018 Work Plan is both a carryover of items from the 2017 Work Plan, and items that we have identified as additional in our prior meeting. Cynthia also noted that she has changed the format and removed some of the unused columns. She noted that for the newly added items volunteers are needed to work on these. Norm offered to participate on the Automatic Vehicle Location (AVL) system item representing the interests of Animal Services/RALS. Deb said she would also contribute to this item as well as take the lead on the Information Governance progress, with Maria Laird as the eventual lead who is forming a focus group on the topic of Information Governance. Norm said that he will speak with Maria about attending the January meeting of the Public Records Committee to speak about the Information Governance project. Cynthia also has asked Jamie Holter to provide more information to the PRC about the Microsoft Teams platform and the “waffle”. Gail said that Curtis Hill, the newest County Records Analyst with the Records Management Program, is interested in learning more about the “waffle” and .pst files. Alex Harris said she is interested in SharePoint Guidance, although she is not completely familiar with SharePoint. Gail asked Alex if the Department of Public Defense uses SharePoint and Alex said they do, in particular the Communications group. Denise Fuseini added that the Department of Judicial Administration also makes heavy use of SharePoint. Gail added that one of the main reasons she is interested in these cloud/online platforms is to learn about their basic architecture and testing their integration potential with CM. Deb added that integration is a feature CM has that KCERMS did not have. Norm asked if this review and testing of SharePoint with the CM system will be a project for the PRC or for Records Management. Cynthia said this will be with both and Deb and Gail agreed. Stephanie Santos added that she would be interested in looking into the features of the “waffle”.

Cynthia turned the conversation to a recent KCIT-sponsored demonstration and presentation she had attended about the Electronic Document Management System (EDMS) . She asked if anyone in the PRC is aware of any workgroups that use the EDMS system. Kimberly Hamm confirmed that District Court uses it for their eCourts Case Management system. Cynthia said that it would be good to have a demonstration for the PRC to see if EDMS can integrate with CM or with other tools the county uses. Often tools like the EDMS system get pitched and agencies start using them without much planning, and without the PRC aware of the functions of the tool. Cynthia added that these tools may not always be the best solution if there were considerable negative impacts for records management and public records requests. It would be ideal if the PRC was first made aware. Deb asked if there was a contact for the EDMS tool and Gail confirmed that the contact is Dennis Phong. Deb added that it would be best to know a long-term plan of EDMS use and deployment in order to better tackle the issue. Shelby pointed out that there is currently no County Information Officer (CIO) at the moment, and that perhaps when a new one joins it will provide a great opportunity for the PRC to forge connections with IT. Gail and Cynthia added that elimination of .psts and the push to OneDrive were KCIT plans that were supposed to be pushed out but that the status of these plans was unknown. Norm mentioned that it may be a good time to speak with Tanya Hannah the acting CIO. Cynthia asked if anyone has yet talked to her about Information Governance. Norm said that Maria has and that so far she and KCIT as a whole has been receptive. Cynthia added that a number of the work plan items relating to KCIT projects appear to have stalled, but perhaps Norm can speak with Tanya about these and what the plan is for deployment or implementation of the products or platforms.

Shelby added that in addition to gaining more information from KCIT, there are a number of the items that probably just need to be updated, for example CRM Guidance. Deb added that the PRC should add a summarization for the 2017 Work Plan items that are completed (including completion as planned, or removed due to inability to take action on) to document these actions and decisions. Norm asked if there were any other items that could be resolved and Cynthia responded that there was no additional information on Public Folders or the FEMA items yet, but that best practices should be written up for CRM. Gail added that the CRM item was also to write up a retention plan, as this product is used to retain records, with Shelby adding that now that they have the technical ability to disposition records.

Cynthia concluded the conversation and meeting by summarizing that one of the major issues the Public Records Committee faced and still faces is impressing upon all county staff, not just KCIT, the necessity to consider records management implications with new software platforms before purchasing the system. The best results are seen when the end users care about the records management implication - the more the PRC can make the end user understand, the easier it will be for the end user in the long run. One of the improvements that the PRC could make in this regard is improve communications about the reasons for this. Deb added that this means all members of the PRC should be taking information back to their agencies and communicating better.

8) Summary Takeaways:

1. Norm to confirm with Jamie what she needs for public records search order process and also when she will be ready to present to the PRC on the waffle services; members to let Jamie know if they are interested in testing participation;
2. Deb will work on Information Governance Guidance
3. Norm will lead on the PRC communication improvements
4. Norm to speak with Tanya Hannah on improved integration with PRC/KCIT relations pending the institution of Information Governance.
5. 2018 Work Plan: Ongoing look on how to incorporate ESJ into 2018 Work Plan; Cynthia to review and add other data elements to the table; Shelby to write up CRM Guidance Document element

9) Adjourn

Norm adjourned the meeting at 4:30 p.m.