**King County**

**Public Records Committee Annual Report**

**March 2013**

**Prepared by**

**Records and Licensing Services Division**

**Approved by**

**Public Records Committee**

**Executive summary**

The King County Public Records Committee (PRC) is composed of representatives of all King County Executive Departments, as well as independently elected officials, superior and district courts. The PRC serves as a collective body of expertise and perspective to consider public records and records management impacts associated with County business. In this role, the PRC promotes employee awareness of public records and records management responsibilities, and advises the King County Council, the King County Executive, KCIT, and others, as appropriate, on policy matters associated with management of public records (both electronic and paper-based), including the development and maintenance of a complete countywide records and information management (RIM) solution.

The PRC charter approved and amended by the County Council under Motion 12511 calls for an annual report submitted to both the King County Executive and the King County Council by March 1 of each year. This report summarizes the activities of the committee for calendar year 2012.

Public Records Committee met nine times in 2012. The committee’s 2012 work plan addressed each of the six goals set out in its charter with a series of action items. The six goals are:

1. Review, comment and provide advice on County documents regarding public records management, including policies, public rules, ordinances, guidelines, best practices, etc.
2. Collaborate with County agencies and King County Information Technology (KCIT) on technology based communication tools as they are deployed to ensure matters associated with records creation and management are known and addressed.
3. Provide guidance on the planning and implementation of a countywide records storage management plan and a countywide electronic records management system.
4. Provide guidance on the development of policies and guidelines for the permanent preservation of the County’s historical records.
5. Provide guidance for the development of policies and guidelines regarding posting records on County websites.
6. Provide on-going, two-way communication across the County to ensure employees are aware of issues and responsibilities regarding records creation and management.

# Background

On May 21, 2007, the King County Council passed Motion 12511, approving the vision, guiding principles, goals, governance and management structure of the King County Public Records Committee as outlined in the Public Records Committee Charter. The formation of the PRC came in response to King County Council Ordinance 15608, which called for the creation of a public records committee to advise, both the Council and the King County Executive, on policy recommendations regarding public records, specifically including both paper and electronic records. Issues coming under the purview of the PRC include privacy, access to and charges for copies of public records, display of records on County websites, planning and implementation of a countywide records storage management plan, and a countywide electronic records management initiative.

The officers of the committee for 2012 were Chair Norm Alberg, Director of the Records and Licensing Services Division (RALS); Vice-Chair Stan Roe, Department of Assessments, and Secretary Deborah Kennedy, Archives, Records Management and Mail Services Manager.

The Public Records Committee met nine times in 2012; January, February March, April, May, June, August, September and December.

# Charter amended

The Public Records Committee made some significant changes to its charter in 2012. The committee’s purpose was updated to recognize the need for a countywide integrated approach to public records and records management impacts associated with County business. The amended charter called for the development and maintenance of a complete countywide records and information management solution for public records. The vision statement was updated to recognize public records as valuable assets that must be maintained throughout their lifecycle. The goals of the committee were also updated with the recognition that the committee had fulfilled its initial priority task.

Further amendments to the charter brought the membership list in line with changes mandated by ordinance 17382. Members of the committee include representatives from the County Council, the Prosecuting Attorney’s Office, the Sheriff’s Office, the County Assessor, the County Executive, the Department of Elections, the Office of Performance, Strategy and Budget, the Superior and District Courts, and Executive departments: KCIT, Community and Human Services , Permitting and Environmental Review, Executive Services, Natural Resources and Parks, Public Health, Transportation, Adult and Juvenile Detention, and Judicial Administration.

The amended charter is provided in attachment 1. The list of PRC members is provided in attachment number 2.

# 2012 Work Plan

In 2012 the PRC organized its work plan around the committee’s six goals with actions items associated with each of those goals. Two committee members were assigned as dyad leaders for each goal area. The action items were:

1. Review, comment and provide advice on County documents regarding public records management, including policies, public rules, ordinances, guidelines, best practices, etc.
   1. Include as a standing PRC agenda item, a check-in about legislation, policies, and other guidance being developed so that we can engage early on review for public records issues.
   2. Develop a protocol for ensuring that early legislation and policy development activities are done with consideration of public records implications.
   3. Lead and participate in the review of INF-7-1-1 (AEP) *Description of Standardized System for All King County Rules, Policies and Procedures*.
   4. Lead and participate in the development of a central resource for a searchable access point for all policies, procedures, and guidance documents, (both those in effect and archival copies of those documents no longer in effect).
   5. Clarify PRC Authority through a review of King County Code language.
2. Collaborate with County agencies and KCIT on technology based communication tools as they are deployed to ensure matters associated with records creation and management are known and addressed.
   1. Meet with KCIT to increase coordination between KCIT governance process and the PRC.
   2. Present linkages of KCIT Governance and PRC connection points at 2012 PRC meeting.
   3. Present background information on social media – use and intentions – with a focus on records management.
   4. Develop guidelines for use of Lync as communications tool; share information countywide.
   5. Review and inventory other County Communication tools for records implications.
   6. Develop record management guidelines for County Enterprise Communication tools.
   7. Define Public record requirements for sanctioned King County (KC) Social media tools.
3. Provide guidance on the planning and implementation of a countywide records storage management plan.
   1. PRC reps meet with Facilities Management Division (FMD) to clarify space consolidation plans and efforts for Department of Permitting and Environmental Review (DPER), Department of Natural Resources and Parks (DNRP).
   2. Develop best practices and employee guidance for records and information management.
   3. Work with Records Management to facilitate transfer of inactive records to storage in the Records Center.
4. Provide guidance on the development of policies and guidelines for the permanent preservation of the County’s historical records.
   1. Develop a policy regarding the transfer of records with both a permanent retention and an archival designation to the Archives.
   2. Contact Department of Judicial Administration (DJA’s) Deputy Prosecuting Attorney (PA) to clarify language in RCWs regarding control of records.
   3. Contact State Archives regarding retention schedule changes regarding permanent and archival designations.
   4. Determine which, if any, permanent records can be transferred to the Archives.
5. Provide guidance for the development of policies and guidelines regarding posting records on county websites.
   1. Define records for the purpose of this task, possibly records with personal identifying data.
   2. Inventory sites in the web content management system that contain records.
   3. Identify current policies and guidelines, if any, and review to determine if updates are needed.
   4. Work with Chief Information Security and Privacy Officer to review current/updated guidelines.
   5. Convene meeting of web content team to share PRC items and issues; also inventory of their web pages – identify any concerns and share with the PRC.
   6. Communicate out current/revised guidelines to KC employees.
   7. Identify current policies/guidelines addressing records management and personal identifying information on web pages – update as necessary.
6. Provide on-going, two-way communications across the County to ensure employees are aware of issues and responsibilities regarding records creation and management.
   1. Draft, implement and update as necessary a PRC Communication plan.

**PRC Goal 1: Review, comment and provide advice on County documents regarding public records management, including policies, public rules, ordinances, guidelines, best practices, etc.**

The Public Records Committee has added a check-in regarding pending legislation, policies, and other guidelines being developed as a standing agenda item so that the membership can engage early on and review these pending items for public records issues.

The Public Records Committee adopted a protocol for ensuring that early legislation and policy development activities take public records implications into consideration.

The Public Records Committee has formed a working group to review and revise Executive Policy INF-7-1-1, which outlines the standardized system for all King County public rules, executive policies, procedures and orders, and to lead and participate in the development of a central searchable access point for all policies, procedures, and guidance documents. The working group includes representatives from KCIT; Human Resources; Archives, Records Management and Mail Services; the Council; Department of Natural Resources and Parks; and the Department of Judicial Administration. The working group has adopted the following two problem statements:

1. How do we make policy documents that are accessible, that provide accurate information, so that the customers get what they need?
2. How can King County create policy documents with consistent content, format, and quality?

This group will continue their work in 2013.

Members of the Public Records Committee worked with Nick Wagner, Council Central Staff to draft the Digital Communications Ordinance passed by Council on July 23, 2012. Early drafts of ordinance established a digital communication technology committee to serve as a forum for sharing and discussing information about the County’s use of digital communication technology. After discussion, the consensus from the PRC members was that the PRC should take on this body of work rather than having another committee, with essentially the same membership formed. The PRC membership agreed that the issues surrounding digital communication fell well within the purview of the PRC and recommended that these responsibilities be delegated to the Public Records Committee.

**PRC goal 2: Collaborate with County agencies and KCIT on technology based communication tools as they are deployed to ensure matters associated with records creation and management are known and addressed.**

This work began with a dialogue between the committee and the Chief Information Officer (CIO). This dialogue led to a meeting with the CIO, PRC Chair and Secretary, KCIT Project Director, Lync Project Manager, KCIT Communications Manager, and KCIT Compliance and Governance Manager. Several points in the lifecycle of KCIT project were identified as opportunities for evaluating records implications. These included:

* enterprise architecture principles considerations,
* conceptual review,
* business case,
* project initiation and planning.

In March, Sonja Rowland, Lync Project Manager, gave a demonstration of the Lync features to the committee. The Lync Project Team asked the committee for recommendations on the records implications and possible solutions for records issues inherent two of the features, instant messaging and voicemail to email text translations. The committee recommended that instant messages not be saved and employees be instructed to avoid using instant messaging for substantive business communications. A working group was formed that collaborated on a records management handout and presentation to inform employees about the appropriate use of instant messaging. The handout and presentation was included in Lync training sessions during the year. Regarding the voice to text translation of voicemail message in Lync, given the inaccuracies inherent in the translations and the potential that the translations created a false record the committee recommended that the voice to text translation feature be disabled countywide.

At the September PRC meeting Trever Esko, Information Technology (IT) Project Director, reported that the KCIT Project Management Office recognized that IT projects produced both records that document the project implementation and informational records produced by the systems implemented as a result IT project. He expressed KCIT’s willingness to consider records management issues generated by IT projects and to include records management functions in IT project implementation plans. Esko asked the PRC to recommend tools and techniques that would help KCIT think proactively about records and records management and to assess records management impacts on IT projects.

In December, Nick Smith, KCIT’s eGov manager, reported on the eGovDelivery program. A part of the redesign and re-architecture of the kingcounty.gov website, the eGovDelivery program allows for the dissemination of communications and alerts for agencies within the County and the records implications of this new system.

The Public Records Committee will continue to work closely with KCIT in 2013.

**PRC goal 3: Provide guidance on the planning and implementation of a countywide records storage management plan and a countywide electronic records management system.**

A working group was formed and agreed to draft a white paper on the current state of records storage in the County. The working group surveyed the County to determine where agencies were keeping their records. This information will be used in the white paper this working group is developing. This work will continue into 2013.

Throughout the year the PRC were kept up-to-date on the progress of the King County Electronic Records Management System (KC ERMS). These reports included updates on the purchase and implementation of a tool that provides an advance search capability within the system and of the closeout of the KC ERMS project. The County’s electronic records management system is scheduled to go operational in 2013 as part of the new countywide records management initiative.

**PRC goal 4: Provide guidance on the development of policies and guidelines for the permanent preservation of the County’s historical records.**

A working group was formed and began researching the number of records that are designated as both permanent and archival on the Washington State Records Retention Schedules starting with records created and maintained by the Department of Judicial Administration. This work will continue into 2013.

**PRC goal 5: Provide guidance for the development of policies and guidelines regarding posting records on County websites.**

Through the second half of 2012 the committee reviewed and commented on the Quad Chart for the new countywide records management initiative planned for 2013.The new model is for agencies to work with the records management program, on a fee-for-service basis, to develop retention schedules and file plans for each agency. Once the retention schedules and file plans have been developed, agency personnel will receive training on how to use the KC ERMS. To gain the support of top level management throughout the County, RALS is working to develop a top down records management methodology. The committee will be kept informed of the progress of this initiative in 2013.

In August the committee was introduced to three new work products that are being produced by the records management program: retention schedules, file plans and Disposition after Digitization (DAD) approvals. The Public Records Committee agreed to be the body to approve the retention schedules and DAD approvals once they have been through the records management program’s process.

**PRC goal 6: Provide on-going, two-way communication across the County to ensure employees are aware of issues and responsibilities regarding records creation and management**

# Officers

Chair: Norm Alberg, Director Designee, Department of Executive Services, Records and Licensing Services Division

Vice-Chair: Stan Roe, Public Information and Disclosure Coordinator, Department of Assessments

Secretary: Deborah Kennedy, Archives, Records Management and Mail Services Manager, Department of Executive Services, Records and Licensing Services Division

Minutes and agendas along with the meeting schedule is available on the PRC website, <http://kcweb.metrokc.gov/archives/prc.aspx>

Attachment 1

**PUBLIC RECORDS COMMITTEE CHARTER**

**December 4, 2012**

I **PURPOSE**

The King County Public Records Committee (PRC) is composed of representatives of all King County Executive Departments, as well as independently elected officials, superior and district courts. The PRC serves as a collective body of expertise and perspective to consider public records and records management impacts associated with County business. In this role, the PRC promotes employee awareness of public records and records management responsibilities, and advises the King County Council, the King County Executive, KCIT, and others, as appropriate, on policy matters associated with management of public records (both electronic and paper-based), including the development and maintenance of a complete countywide records and information management (RIM) solution.

II **VISION**

Public Records are recognized as valuable assets belonging to both King County and the citizens of King County, and as such are maintained in a manner that ensures their proper retention, destruction, preservation and access.

III **GUIDING PRINCIPLES**

1. Our representative form of government is founded on a belief that an informed electorate is the basis of a democratic society.

2. Access to information concerning the conduct of government must be assured as a fundamental and necessary precondition to the sound governance of a free society.

3. All public records shall be and shall remain accessible to the citizens of King County.

4. The historical records of the County are at risk of deterioration due to age and environmental degradation and that such documents require preservation in the public interest before they are irreparably damaged.

5. King County is responsible for the management of multitude of different types of records in accordance with state and County law.

6. A countywide standard for the management of electronic public records is necessary to avoid inefficiencies related to the management and long term accessibility of public records.

7. Identity theft is a public concern prompting agencies to seek methods for protecting personal identifying information on public records.

8. King County is committed to managing its public records as a countywide resource and in a manner that meets legal record retention and disposition standards.

IV **AUTHORITY**

Ordinance 15608, as amended, codified in King County Code 2.14.010 and 2.14.020, is the legal authority for the Public Records Committee.

V **GOALS**

A primary responsibility of the PRC is to establish and maintain policies and guidelines to protect personal identifying information when records are posted on county websites.  Additionally, the Public Records Committee has established the following goals:

1. Review, comment and provide advice on County documents regarding public records management, including policies, public rules, ordinances, guidelines, best practices, etc.
2. Collaborate with County agencies and KCIT on technology based communication tools as they are deployed to ensure matters associated with records creation and management are known and addressed.
3. Provide guidance on the planning and implementation of a countywide records storage management plan and a countywide electronic records management system.
4. Provide guidance on the development of policies and guidelines for the permanent preservation of the County’s historical records.
5. Provide guidance for the development of policies and guidelines regarding posting records on County websites.
6. Provide ongoing, two-way communication across the County to ensure employees are aware of issues and responsibilities regarding records creation and management

VI **GOVERNANCEANDMANAGEMENT STRUCTURE**

1. MEMBERSHIP

Members of the committee include representatives from the following departments, independently elected officials and the courts:

1. County Council
2. Prosecuting Attorney
3. Sheriff
4. County Assessor
5. County Executive
6. Elections
7. Office of Performance, Strategy and Budget
8. Superior Court
9. District Court
10. Executive Departments
    1. King County Information Technology
    2. Community and Human Services
    3. Permitting and Environmental Review
    4. Executive Services
    5. Natural Resources and Parks
    6. Public Health
    7. Transportation
    8. Adult and Juvenile Detention
    9. Judicial Administration

The following staff positions are designated as standing members of the PRC due to their expertise in their respective subject areas: King County Executive Branch Public Records Officer, KCIT Director of web-based services, and the Archives, Records Management and Mail Services Manager. The Archives, Records Management and Mail Services Section, Records and Licensing Services Division, Department of Executive Services will provide staff support to the PRC.

2. OFFICERS

Officers of the committee shall include the Chair, Vice Chair and Secretary. Officers shall perform those duties customarily assigned to the offices held.

1. Chair: The Director of the Records and Licensing Services Division shall be the chair of the PRC. The Chair shall preside at meetings of the PRC and shall otherwise be responsible for the conduct of the business of the committee. The Chair will appoint a vice chair, who will be a committee member, and a Secretary, who may be a staff support person from the Department of Executive Services.
2. As Chair of the committee, the Director of the Records and Licensing Services Division may delegate the duties of chair to the Deputy Director, Records and Licensing Services Division.
3. Vice Chair: The vice chair will serve as Chair in the absence of the Chair.
4. The Secretary shall be responsible for preparing the meeting agendas and the meeting minutes and for distributing them to all members at least a week prior to the next meeting. The Secretary shall see that all notices are duly given to all committee members; maintain a list of members; and perform other duties incidental to the office of Secretary.

3. SUBCOMMITTEES

1. At any meeting of the PRC, the members may address tasks, take action on issues or assign deliverables by the creation of a Public Records Subcommittee. A member must chair all PRC subcommittees; all recommendations, opinions, research and deliverables of the subcommittees will be presented to the PRC for review, adoption and approval for action. PRC subcommittees are created as the PRC deems appropriate. Individuals may participate in multiple subcommittees.
2. The subcommittee chair shall be appointed by the PRC Chair.
3. The Chair of the PRC shall be an ex-officio member of all subcommittees. At the Chair's discretion, the Vice Chair may be asked to serve in this capacity.
4. Meetings of each subcommittee may be called by its Chair or by the PRC Chair. Subcommittees shall meet as often as is necessary to conduct business.
5. All subcommittees of the PRC shall prepare written reports to be submitted at the PRC meeting summarizing the actions taken by the subcommittee.

4. PROCEDURES

1. The Chair will regularly convene meetings of the PRC to discuss public records management issues facing County government.
2. The Public Records Committee shall prepare a report on the status of its work to be presented to the King County Executive, the Business Management Council and the King County Council as often as necessary but at least once a year not later than March first. The report will summarize the activities of the committee in relation to the goals stated above, and make programmatic and policy recommendations as to how King County can best manage, preserve and provide access to its public records.

5. MEETINGS

Meetings of the PRC shall be held at least once per quarter as determined by the Chair. Members are expected to attend all scheduled meetings. To provide consistency and efficient conduct of business and to facilitate broad representation of the membership, each PRC member may appoint an individual to act as their assigned designee empowered to speak in the member's absence. On request of the member, a designee may receive

all communications and materials that pertain to the work of the committee.

6. AMENDMENTS

This Charter shall be amended by a two-thirds majority vote of the PRC members present and voting at any duly called meeting or special meeting of the PRC called for that purpose. Each proposed amendment shall be made available prior to the meeting at which it is presented and voted upon. Each proposed amendment shall specify the date it is to become effective.

Attachment 2

**Public Records Committee**

**Membership List**

|  |  |  |
| --- | --- | --- |
| Andrea | Williams | Adult & Juvenile Detention |
| Deborah | Kennedy | Archives, Records Management and Mail Services Manager |
| Stan | Roe | Assessor’s Office |
| Dave | Goff | Board of Equalization |
| Rene | Franzen | Community & Human Services |
| Sharon | Logue | Community & Human Services |
| Kim | Laymen | Permitting and Environmental Review |
| Lisa | Mankin | Permitting and Environmental Review |
| Prakash | Meloot | District Court |
| Sherril | Huff | Elections |
| Nathan | Valderas | Elections |
| Tom | Koney | Executive Services |
| Norm | Alberg | Executive Services: Records & Licensing Services |
| Nick | Smith | Information Technology (KCIT) |
| Terra | Strouhal | Information Technology (KCIT) |
| Joel | McAllister | Judicial Administration |
| Teresa | Bailey | Judicial Administration |
| Anne | Noris | KC Council |
| Cynthia | Hernandez | Natural Resources & Parks |
| Lisa | Boggess | Office of Labor Relations |
| Shelley | Harrison | Office of the Executive |
| Kristie | Johnson | Prosecuting Attorney |
| David | Seaver | Prosecuting Attorney |
| John | Gerberding | Prosecuting Attorney |
| Tyler | Entrekin | Public Health |
| Carole | Bartolini | Public Health |
| Kelli | Williams | Public Records Officer |
| Patty | Shelledy | Sheriff’s Office |
| Leslie | Groce | Sheriff’s Office |
| Laurie | Brown | Transportation |
| Craig | McMurdo | Transportation |