**King County**

**Public Records Committee Annual Report**

**May 2014**

**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, King County Information Technology (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. A three-month extension was requested for the submission of this report. This report summarizes the activities of the committee for calendar year 2013.

The Public Records Committee met eight times in 2013. The committee’s 2013 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 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 the management of King County’s public records, in all formats. 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, a countywide electronic records management initiative, and the preservation of the County’s historical records.

The officers of the committee for 2013 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 eight times in 2013; January, February, March, April, June, August, September, and November.

1. **Membership**

In 2013, the Department of Executive Services, Records and Licensing Services Division launched the Countywide Records Management Initiative. The Records Management Initiative (RMI) was charged with engaging the separately elected organizations in the adoption of the countywide records management policies and establishing a governance and accountability framework. The PRC acts as the governing body for the RMI. As the RMI ramped up, the PRC revisited its membership and processes to maximize the committee’s effectiveness and efficiency. The PRC undertook a review of its membership and asked the departments and agencies named in the PRC charter to identify their PRC representatives. In May 2013, Norm Alberg, PRC Chair, sent a memo to the members of the Operations Cabinet asking them to identify their agency’s representative to the PRC. The memo included a list of desirable characteristics for PRC members. Those characteristics are:

* Have decision-making authority for the organization, an understanding of the full range of operational issues faced by the department or agency; and access and credibility sufficient to effect change across the department or organization.
* Be accepted as a department or agency leader.
* Have familiarity with and be supportive of Public Records Act and Records Retention compliance issues.
* Be able to commit to the PRC standing meeting schedule or commit to providing and receiving meaningful backfill or catch-up strategies when meeting attendance isn’t possible.

The current membership list is included as Attachment A.

1. **2013 Work Plan, activities and accomplishments**

The PRC organized its work around the committee’s six goals, with action items associated with each of those goals. Two committee members were assigned as dyad leaders for each goal area. The PRC’s 2013 goals and work plan items, as well as the activities and accomplishments associated with each are listed below.

1. **PRC Goal 1**: Review, comment and provide advice on County documents regarding public records management, including policies, public rules, ordinances, guidelines, best practices, etc.
2. ***2013 Work plan items***
3. Lead and participate in the review of INF-7-1-1 (A-EP) which outlines the Standardized System for all King County Executive Policies, Procedures and Public Rules. Produce a new standardized system by year end.
4. Lead and participate in the development of a central searchable access point resource for all policies, procedures, and guidance documents, both those in effect and archival copies of those no longer in effect.
5. Look at a holistic life cycle of a record from start to finish.
6. Create a policy for departing employees’ records.
7. Monitor and advise on the countywide records management initiative.
8. ***2013 Activities and Accomplishments:***
9. Drafted a revision to INF 7-1-1 (A-EP) which will be approved and implemented in early 2014
10. Added a webpage search link to the Master List page to the Policies, Public Rules, and Interlocal Agreements webpage.
11. Drafted a procedure for handling departing employee records
12. Finalized and approved a countywide Records Management Policy, which is currently being revised in response to comments from the Executive Policy Review Group.
13. **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.
14. ***2013 Work plan items***
15. Ongoing coordination between KCIT governance processes and the PRC
16. Present background information on social media – use and intentions – with a focus on records management
17. Review/inventory other county communication tools
18. Develop record management guidelines for county enterprise communication tools
19. Review video guidelines and provide updated guidelines
20. Define public record requirements for sanctioned King County social media tools
21. ***2013 Activities and Accomplishments:***
22. Established PRC membership on the Business Management Council
23. Requested that KCIT appoint a representative to the PRC with the desirable characteristics listed above.
24. Led the development of the countywide Digital Communications Report
25. Provided analyses and policy direction for KCIT to disable Lync conversation history from individual users email accounts and eliminate duplicative records.
26. Improved collaboration in KCIT training, in areas that have records management implications; e.g. SharePoint, Lync, etc.
27. Encouraged KCIT to provide early information on information technology tools, with records management implications to PRC for input and advice.
28. Created an advice sheet for using, managing, filing and searching for voice mails created by Microsoft Lync.
29. Consulted with KCIT regarding implementation of Office 365 and moving Exchange to cloud storage.
30. **PRC Goal 3**: Provide guidance on the planning and implementation of a countywide records storage management plan.
31. ***2013 Work plan items***
32. PRC representatives meet with Facilities Management Division (FMD) to clarify space consolidation plans and efforts for the Department of Permitting and Environmental Review (DPER), and for the Department of Natural Resources and Parks (DNRP).
33. Develop best practices and employee guidance for records and information management.
34. Work with Records Management to facilitate transfer of inactive records to storage in the Records Center.
35. ***2013 Activities and Accomplishments:***
36. PRC and KCIT collaborated on stress testing the King County Electronic Records Management System (KC ERMS).
37. ARMMS in collaboration with the PRC designed and implemented a formal Disposition after Digitization process.
38. Provided direction to KCIT to abide by the Washington State Archives requirements of storing back-up copies of non-archival records that have been disposed of after digitization at least 50 miles from the location of the primary copy of the digitized records
39. Presented Records Management Initiative accountability responsibilities  to the Executive Cabinet and Operations Cabinet
40. The Records Management Program worked directly with DPER to help them after their move. The Department of Natural Resources and Parks signed a service level agreement with the Records Management Program for the Records Management Initiative, May 31, 2013.
41. Records Management Manual has been drafted and was circulated to the PRC membership in January 2014 for their review and comment.
42. Monthly trainings are ongoing to train agency records coordinators how to send physical records to inactive storage in the Records Center.
43. **PRC Goal 4**: Provide guidance on the development of policies and guidelines for the permanent preservation of the County’s historical records.
44. ***2013 Work plan items***
45. Develop a policy regarding the transfer of records with both a permanent retention and an archival designation to the Archives.
46. Contact Department of Judicial Administration (DJA’s) Deputy Prosecuting Attorney (PA) to clarify language in RCWs regarding control of DJA’s records.
47. Contact State Archives regarding retention schedule changes to permanent and archival designations.
48. Determine which, if any, permanent records can be transferred to the Archives.
49. ***2013 Activities and Accomplishments:***
50. Evaluated the KC ERMS to determine if that system met the requirements as a trusted digital repository for archival electronic records. Decision expected mid-2014.
51. Standardized archival designation language in KC ERMS and on County retention schedules and file plans to be in line with language on Washington state records retention schedules and established archival standards.
52. **PRC Goal 5**: Provide guidance for the development of policies and guidelines regarding posting records on county websites.
53. ***2013 Work plan items***
54. Define records for the purpose of this task, possibly records with personal identifying data.
55. Inventory sites in the web content management system that contain records.
56. Identify current policies and guidelines, if any, and review to determine if updates are needed.
57. Work with Chief Information Security and Privacy Officer to review current/updated guidelines.
58. Convene meeting of web content team to share PRC items and issues; also inventory their web pages – identify any concerns and share with the PRC.
59. Communicate current/revised guidelines to KC employees.
60. Identify current policies/guidelines addressing records management and personal identifying information on web pages – update as necessary.
61. ***2013 Activities and Accomplishments:***
62. Provided comments and suggestions on the Social Media Guidelines revision.
63. Provided comments and suggestions on the Social Media Training development.
64. Provided comments and suggestions on the acquisition of the product, *PageFreezer*, acquired for retention of the County’s web content by the Web Re-Architecture Project Team.
65. **PRC Goal 6**: Provide on-going, two-way communications across the County to ensure employees are aware of issues and responsibilities regarding records creation and management.
66. ***2013 Work plan items***
67. Draft, implement and update as necessary a PRC Communication plan.
68. ***2013 Activities and Accomplishments:***
69. In addition to the improved coordination and communications with KCIT and the Executive and Operations cabinets, as noted above, the PRC has updated its membership and re-emphasized the roles and responsibilities of its members to provide two-way communication between the PRC and County agencies.
70. **Officers**

**Chair:** Norm Alberg, Director, 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 A

**Public Records Committee**

**Membership List**

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| --- | --- | --- |
| **First name** | **Last name** | **Agency** |
| 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 |
| David | Hocraffer | Department of Public Defense |
| Prakash  | Meloot | District Court |
| Sherril  | Huff | Elections |
| Nathan  | Valderas | Elections |
| Tom  | Koney | Executive Services |
| Norm  | Alberg (Chair) | Executive Services: Records & Licensing Services Director |
| Rosa  | Orams | Executive’s Office |
| Terra  | Milles | Information Technology (KCIT) |
| Teresa  | Bailey | Judicial Administration |
| Joel  | McAllister | Judicial Administration |
| Denise | Millard | Judicial Administration |
| Jennifer  | Giambattista | KC Council |
| Anne  | Noris | KC Council |
| Don | Jewett | Natural Resources & Parks |
| Lisa  | Boggess | Office of Labor Relations |
| Linda | Bondar | Office of Labor Relations |
| Shelley  | Harrison | Office of the Executive |
| Kim  | Laymen | Permitting & Environmental Services |
| Erika | Sullivan | Permitting & Environmental Services |
| Ethan  | Rogers | Prosecuting Attorney |
| David  | Seaver | Prosecuting Attorney  |
| Carole  | Bartolini | Public Health |
| Tyler  | Entrekin | Public Health |
| Shelby | Miklethun | Public Records Officer |
| Leslie  | Groce | Sheriff’s Office |
| Kimberly | Petty | Sheriff’s Office |
| Patty  | Shelledy | Sheriff’s Office |
| Cheryl | Binetti | Transportation |
| Laurie  | Brown | Transportation  |