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**Public Records Committee Annual Report**

**March 2016**

**Prepared by**

**Records and Licensing Services Division**

**Approved by the**

**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, and 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 the 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 a report to be submitted to both the King County Executive and the King County Council annually. This report summarizes the activities of the committee for calendar year 2015.

The Public Records Committee met eight times in 2015. The committee’s 2015 work plan addressed each of the six goals set out in its charter. 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 2015 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 2015; February, March, April, June, July, September, October, and December.

1. **Membership**

As the governing body for the Countywide Records Management Initiative, launched in 2013, it is important the individuals appointed to represent their agencies on the PRC be aware of and involved in their agency’s records management efforts. In 2015, the PRC asked the departments and agencies named in the PRC charter to identify an Agency Records Officer who would be their PRC representative and have the following characteristics:

* 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 primary form of communication for Public Records Committee members is through an email distribution list. In November 2015, PRC members and alternates were asked to confirm both their membership and their role on the PRC as member or alternate. The current membership list is included as Appendix A.

1. **2015 Work Plan, Activities And Accomplishments**

The PRC organized its work around the committee’s six goals. 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. ***PRC Approval of Agency Specific Records Retention Schedules and Disposition after Digitization (DaD) Applications***

In 2012 the PRC agreed to review and approve the unique records retention schedules developed by the Records Management Program (RMP) for county agencies and Disposition after Digitization (DaD) applications submitted by those agencies. The Archives, Records Management and Mail Services Section (ARMMS) sought to set binding standardized retention periods that had been agreed to by county agencies and approved by the (PRC), as the body responsible for advising the King County Council and the King County Executive on records management policy and standards. The agency-specific schedules differ from the State Retention Schedules in that the state schedules set minimum retention requirements, while the agency-specific schedules set retention periods that meet the minimum retention requirements but that also meet the business needs of county agencies. Whenever possible those retention requirements are standardized across King County government.

Review and approval by the PRC ensures that the retention periods meet the county’s business needs; agencies are informed about the work of the RMP, what records are created and exist in the county, what systems are being used, and what records are being imaged and retained electronically. As agency representatives, PRC members might have special insight where a retention period might need to be extended to meet the needs of specific business processes or their own agency’s business needs, or which agency should be the primary keeper of a particular records series.

The PRC approved the countywide general records retention schedule, 44 agency specific records retention schedules and six DaD applications in 2015. A list of retention schedules and DaD applications is included as Appendix B.

1. **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.
   1. ***Constituent Relationship Management System (CRM)***

During 2015 the PRC received notification from KCIT about the deployment of the Constituent Relationship Management (CRM) system to public records officers. The CRM, an integrated platform available to all agencies as a replacement for other CRM systems, was deployed in February. When the deployment was announced at the March PRC meeting, concerns were raised about how retention requirements would be applied to records added to the CRM. The KCIT representative suggested that the PRC convene a focus group to make formal recommendations about records management issues with new technology tools. The PRC will follow-up on this recommendation in 2016.

1. **PRC Goal 3**: Provide guidance on the planning and implementation of a countywide records storage management plan.
2. ***Archives and Records Center Space Planning***

During 2015 the PRC received updates on the space constraints at the King County Archives and the ongoing discussions with the Facilities Management Division and the Seattle Housing Authority about the possible future acquisition of the Archives and Records Center site by the Seattle Housing Authority.

1. **PRC Goal 4**: Provide guidance on the development of policies and guidelines for the permanent preservation of the county’s historical records.
2. ***Partnership Initiative***

The PRC received updates on efforts to develop partnerships with various regional heritage organizations to combine efforts in the areas of storage, facility planning, and potential digitization projects.

1. ***Archives Collection Management System Demonstration***

Carol Shenk, County Archivist, reported that the Archives Collection Management System project was nearing completion. In addition to several process improvements within the Archives, this system includes an Online Public Access Catalog (OPAC) which allows Archives customers to search the database 24/7 to identify and request access to records of interest to them. This is an improvement in customer service to both the public and county staff customers who can now do more of their own research in advance of their visit to the Archives and know more about the county’s historical records collection.

1. **PRC Goal 5**: Provide guidance for the development of policies and guidelines regarding posting records on county websites.
2. ***No activity in 2015***
3. **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.
4. ***Public Records Act Legislation***

While the Washington State Legislature was in session the PRC received briefings from the Executive Branch Public Records Officer or her alternate about the progress of bills related to public records requests.

1. ***Records Management Program Updates***

Records Management Program (RMP) updates are a standing agenda item for the PRC.

* Developed various new trainings including an online basic records management training that will be incorporated into the New Employee Orientation for all employees and a new Basic Records Management training for elected officials.
* Convened a pilot group to test the advanced search tool for the King County Electronic Records Management System (KC ERMS).
* Held meetings of the King County Records Management Network quarterly.
* Developed a New Employee Onboarding Checklist.
* Developed, distributed and received PRC approval of a KC ERMS Service Delivery Expectations document
* Began an employee retirement benefit verification file standardization project for which the RMP received funding from Risk Management

During 2015, a report that the RMP worked with county agencies to conduct searches in KC ERMS in response to public records requests sparked a conversation about who is responsible for conducting and coordinating searches in response to public records requests and a request for an educational program surrounding these responsibilities.

1. ***Text Messaging Guidelines***

At the April meeting the PRC received a guide, “Text Messages as Public Records,” created by the Records Management Program. After some discussion of the issue, PRC members unanimously voted in favor of developing a policy on the same topic. A sub-committee was formed to begin the work. Members included: Tyler Entrekin, Cynthia Hernandez, Gail Snow, Shelby Miklethun, and Terra Milles. The working group recommended that:

* text messages for business communications be prohibited unless a bona fide business need is verified;
* the agencies with a bona fide business need for using text messaging have a plan for compliance monitoring, records identification and maintenance, and consider the issuance of county owned devices; and
* anyone using text messaging for business communications retain text messages in accordance with records retention schedule requirements.

1. ***Managed Records Line of Business (LoB) Planning***

During 2015, the PRC received briefings on the Managed Records Line of Business planning process. The goal of line of business planning process is to align the line of business under review with other lines of business by:

* + looking holistically at the needs of a service/line of business,
  + considering the long-term and immediate needs,
  + focusing on reviewing products at a granular level,
  + identifying problems, looking for the root cause,
  + completing an alternative analysis, and
  + developing an implementation strategy.

1. ***Communication***

The Committee discussed the roles and responsibilities of the PRC members to communicate PRC actions and information provided at PRC meeting with their agencies. The PRC set a goal to find a better way to communicate the actions of the PRC. Next steps are:

* 1. Reporting signification work of the PRC to the Operations Cabinet
  2. Summarizing key takeaways at the end of each meeting
  3. Including unresolved issues from the last meeting on the next meeting’s agenda

1. ***KCIT***

During 2015, KCIT representative Terra Milles, prepared and distribute a handout that listed the various Enterprise tools provided by KCIT, the records retained by KCIT in those tools, and the length of time KCIT retains them. The goal of the handout was to bring awareness about KCIT’s practices and to remind PRC members that the responsibility for managing these records remains with the records creator.

1. **Committee Resources**

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

**Vice-Chair:** Cynthia Hernandez, Administration Manager, Department of Natural Resources and Parks

**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 are available on the PRC website, <http://kcweb.metrokc.gov/archives/prc.aspx>

**Appendix A**

**Public Records Committee**

**Membership List**

**December 31, 2015**

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| --- | --- | --- |
| **Organization** | **Voting Member** | **Alternate** |
| Adult & Juvenile Detention | Andrea Williams | Crystal Moua |
| Assessor’s Office | Kelsey Hatch |  |
| Community & Human Services | Eva Haney |  |
| District Court | Kimberly Hamm |  |
| Elections | Nate Valderas |  |
| Executive Services | Danielle Lucero |  |
| Executive Services/RALS/ARMMS | Deborah Kennedy (Secretary) | Gail Snow |
| Executive Services/Records and Licensing Services Division | Norm Alberg (Chair) |  |
| Information Technology (KCIT) | Terra Milles |  |
| Judicial Administration | Joel McAllister |  |
| KC Council | Anne Noris |  |
| Natural Resources & Parks | Cynthia Hernandez (Vice-Chair) |  |
| Office of the Executive | Shelley Harrison | Rosa Orams |
| Performance, Strategy and Budget | Ayesha Kelly | Rosa Orams |
| Permitting & Environmental Services | Allan Oshima | Kim Layman |
| Prosecuting Attorney | Kristie Johnson |  |
| Public Defense |  |  |
| Public Health | Tyler Entrekin |  |
| Public Records Officer | Shelby Miklethun |  |
| Sheriff’s Office | Kimberly Petty |  |
| Superior Court | Linda Ridge | Malinda You |
| Transportation | Laura Federighi |  |

**Appendix B**

**2015**

**Approved Retention Schedules and Disposition after Digitization Applications**

King County General Records Retention Schedule

**Agency Specific Retention Schedules:**

|  |
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| 4Culture |
| DCHS - Director's Office |
| DES - Alternative Dispute Resolution |
| DES - Director's Office |
| DES - FBOD - Business Development and  Contract Compliance |
| DES - FBOD - Treasury Operations |
| DES - HRD - Compensation and Classification  Services |
| DES - Office of Civil Rights and Open  Government |
| DES - RALS - Archives, Records Management  and Mail Services |
| DES - RALS - Director's Office |
| DES - RALS - Licensing |
| DES - RALS - Regional Animal Services of  King County |
| DES - RALS - Recorder's Office |
| DES - Office of Risk Management |
| DNRP - Director's Office |
| DNRP - Human Resources |
| DNRP - Wastewater Treatment Division –  Finance and Administration –  Capacity Charge Program |
| DOT - Airport Division |
| DOT - Fleet Administration Division |
| DOT - Marine Division |
| DPH - PD - Medical Examiner's Office |
| Ferry District |
| Flood Control District |
| KCC - Board of Appeals and Equalization |
| KCC - Clerk of the Council and Central Staff |
| KCC - District Offices |
| KCC - Office of Law Enforcement Oversight |
| KCIT - Business Analysis Service |
| KCIT - Business and Finance Support |
| KCIT - Equity and Social Justice |
| KCIT - Puget Sound Emergency Radio Network |
| KCIT - Communications and Marketing |
| KCIT - eGoverment |
| KCIT - Human Resources |
| KCIT - Information Assurance |
| KCIT - IT Service Delivery Managers |
| KCIT - Project Management Office |
| KCIT - Data Center |
| KCIT - Service Center |
| KCIT - Technical Products |
| KCIT - Office of Cable Communications |
| KCIT - Networks Services |
| KCIT - Radio Communication Services |
| KCIT - Strategy and Architecture |

**DaD applications:**

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| --- |
| DES-RALS-Regional Animal Services of King County |
| DES-RALS-Regional Animal Services of King County |
| DNRP-WTD-Finance and Administration |
| DPH-Director's Office |
| DPH-PD-Medical Examiner's Office |
| DES-Office of Risk Management |