**Public Records Committee (PRC)**

Graybar Building, Okanagan Room

January 17th, 2017

3:30-4:30 pm

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

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| **Organization** | **Name** |
|  |  **Staff** |
| Adult & Juvenile Detention |  |
| Archives, Records Management and Mail Services  | Deb Kennedy, Gail Snow, Lisa Mankin, Carol Shenk (phone) |
| Assessor’s Office |  |
| Community & Human Services |  |
| Department of Public Defense |  |
| District Court | Kimberly Hamm (phone) |
| Elections |  |
| Executive Services |  |
| Executive Services: Records & Licensing Services | Norm Alberg |
| Information Technology (KCIT) | Jamie Holter (phone) |
| Judicial Administration |  |
| KC Council |  |
| Natural Resources & Parks | Cynthia Hernandez |
| Office of the Executive | Shelley Harrison (phone) |
| Permitting & Environmental Review |  |
| Prosecuting Attorney |  |
| Public Health | Tyler Entrekin (phone) |
| Public Records Officer, Executive Branch | Shelby Miklethun |
| Sheriff’s Office |  |
| Superior Court |  |
| Transportation | Cheryl Binetti (phone) |

Chair Norm Alberg called the meeting to order at 3:42 pm.

1. Introductions

All present introduced themselves by name and the office they represent. Cheryl Binetti, Shelley Harrison, Kimberly Hamm, Jamie Holter, Carol Shenk, and Tyler Entrekin attended via phone call.

1. Approval of Minutes

Norm Alberg called for a motion to approve the minutes. Shelley Harrison moved the December 6, 2016 minutes be approved as written. Deb Kennedy seconded the motion. The minutes were approved unanimously.

1. 2017 PRC Work Plan and Calendar Review

Vice Chair Cynthia Hernandez reminded members that the Work Plan includes both current, items in progress from 2016 and new items for 2017. She proceeded to explain the plans and current status of the various items beginning with the Exiting Employee policy which will soon be transmitted by Caroline Whalen. Gail Snow quickly noted that there is one element that needs to be updated that she will coordinate with Vice Chair Hernandez. The Legal Hold policy has made good progress, Hernandez noted that the subcommittee met with the Prosecuting Attorney’s Office (PAO) and that they have planned procedures in place, but she is unaware of the next steps but believes it is nearly ready for stakeholder review and hopes Stephanie Santos will provide an update next time. Hernandez then asked committee members if there was an update on Public Folders. Norm Alberg recollected that Jamie Holter was going to check on Public Folders. Holter asked for clarification as to what the issue or question was concerning public folders. Cynthia Hernandez responded that some have noticed public folders have gone away and noted that while the PRC would like them to go away we would like to be involved in the planning. Is someone in KCIT working on it? Gail Snow added that her priority is of course to safeguard that the records in the folders are being managed for the proper retention period. Norm Alberg suggested the primary question is who is leading the project on the Public Folders migration so that the PRC can contact them with specific questions and concerns. Shelley Harrison asked if there was a timeline for removal of.pst files (Outlook’s personal storage file format). Deb Kennedy clarified that the question related to Public Folders is separate from the discontinuation of .psts, but Snow added she believed there was also a .pst removal plan and likely a project lead there as well. Hernandez continued to the next work plan item concerning the FEMA Public Assistance Grant records Policy, noting that the subcommittee has developed and agreed upon a list of policy elements, and that the policy draft establishes the Office of Emergency Management (OEM) as the office with coordinative responsibility for the record keeping for major disaster grants). Hernandez noted that Lynn Mckiernan-Ngari who is involved with the policy review noted that some FEMA grants might be unique to the departments and asked for clarification regarding whether all kinds were covered in the policy or if just this one kind of major disaster grants were covered since the record keeping requirements will be different. Gail Snow added that the City of Seattle faced related issues on this topic when the FEMA auditor came and looked at construction records (for example, constructing the bridge using FEMA grant funds, the auditor asked to see building plans, staff time sheets, etc.; records typically retained by the individual departments. Source documents were not sent to the central office, however a list of all pertinent records were sent to a central office so that the central office could submit the final close-out date. Hernandez suggested that OEM wants to collect all the records since the life of the grants are so long, longer than most department staff tenure, and also the auditors come specifically to OEM expecting them to have the entire record. OEM did not immediately recognize the need for a policy since they had a procedure in place but do feel it’s valuable to have it documented and formalized. Hernandez made a case that this would be helpful to spread awareness and formally document in perpetuity the process OEM has adopted. Jamie Holter offered that when she worked at Washington Department of Transportation, Curt Holmes did all record keeping for counties and cities interfacing with FEMA and she suggested she could set up a meeting if that would be helpful. Hernandez thanked Holter for the offer and responded that she would follow-up with Holter if needed after the next meeting with OEM. Gail Snow requested to be present at that upcoming OEM meeting. Shelley Harrison then offered an update on the next work plan item explaining that there are some minor concerns from the Annexation policy group concerning small annexations. Hernandez added there is already a policy drafted and this is just making sure the stakeholders are happy with it. Hernandez then directed attention to the next item suggesting that the committee will be making plans for the upcoming year’s technology review process and encouraged members just be aware of that item coming up again.

Hernandez then directed attention to the new items to be started in 2017. The first item is the CRM Best Practice Guidance investigating if can we keep records for retention in CRM and providing clear guidance on how tool should be used. Deb Kennedy added that she was invited to participate in a governance group working on CRM and SharePoint and that the first meeting was organizational but they plan on meeting monthly and she will bring reports back to this group. Hernandez asked if they are discussing OneDrive. Shelby commented that OneDrive is an arm of SharePoint so she’s sure that’s something that could be discussed by that group. Hernandez asked members to think about what items they would like to work on because there are items without names and we will need people to staff these sub groups. She added that one does not have to be a PRC member to participate on a work plan subgroup and hoped that there might be subject matter experts in the various departments who would have valuable input and might participate as well.

Gail Snow asked if the committee had received the final processes adopted by KCIT on exiting employees from Jeff Boudreau. Specifically if the transfer of documents from OneDrive was included in the procedures since the records are lost once the account closes. Hernandez added that she thinks that is still true and that it is not included in the KCIT procedures for exiting employee backup. She added that this is a prime example of our need to know how OneDrive and SharePoint work and to provide guidance on how differently they work and when to use which appropriately to properly retain records and disposition transitory records. Someone should be assigned to every SharePoint site to manage all records created and that they are filed and the site decommissioned when site’s purpose has been fulfilled. Shelby Miklethun added that it was quite a process to remove a SharePoint site; it took months. Hernandez commented that this is a point to consider when building a site and suggested that often a folder within a site could be created instead of a site. Kennedy added that this is one thing the Governance group will be addressing. Norm Alberg asked if we know how many SharePoint sites exist. Snow added that with the new records management system will include an integration component allowing users to manage in place or file directly from SharePoint and that we will have to decide whether it files/pulls from SharePoint and goes into content manager, or if records will remain in SharePoint and have retention linked and records then deleted from there after retention requirements are satisfied. In SharePoint trainings offered recently, Hernandez has heard the trainers are telling people that shared drives are going away and that they need to move to SharePoint. Jamie Holter added that she believes this is true that the use of SharePoint and OneDrive is being encouraged as an alternative to the shared drive. Hernandez emphasized that the problem is that without clean guidance on how that should take place. It will be messy. Tyler Entrekin added that there are portions of King County that are HIPPA covered entities and we do not currently have a BAA agreement in place for SharePoint/OneDrive and they would then be out of compliance. Jamie Holter offered to share language if we’d like to see that included in trainings. Deb Kennedy asked if Holter could get the committee names of people leading the project. Holter said the lead trainer is Pua Caine. Alberg asked if there is a project lead. Holter agreed to provide the name.

Another item to be tackled this year is the employee onboarding process. Hernandez suggested that while the committee has had a few conversations about the issue, this item has not started substantively. Norm Alberg asked if there was an update on the communications plan item. Hernandez said she’s added a spot for each month on the work plan and hopes members will make suggestions for topics and take action. Alberg took the opportunity to propose a potential communication topic concerning the status of the Records Management Program fee for service since it has been discontinued! He joyfully announced that the 2017-2018 budget fully funded the Records Management Team. He explained that a formal announcement will be on the Operations Cabinet agenda and we will be sending a broad communication out. He reminded the committee that we do of course plan to retain some elements of the statement of work, but moving forward there won’t be billing involved. Deb Kennedy added that we are hoping to keep writing retention schedules, file plans, and providing basic records management training; agencies can then decide to either train on KC ERMS or wait to train on new system when it goes live in the summer. Kennedy thanked all agencies who have participated in the initiative for modeling the way and said that they would be first in line for training on the new system. Alberg then asked for Jamie Holter’s assistance in communicating this change broadly. Holter briefly suggested a global, all King County email coordinated through Jason Argo as well as then also communicating to department heads using their specific zzgrps. Alberg indicated he would schedule a short meeting with Holter and Kennedy to discuss details.

Norm Alberg then recognized the committee was running short on time after a late start and suggested the committee move on to the annual reports update.

1. 2016 PRC Annual Report and Digital Communications Report to Council

Deb Kennedy suggested that all committee members should have received an email with a survey to collect information for the digital communications report. She explained the online survey format will hopefully be easier for departments to communication the information and hopes it will be easier for her to summarize in this format. She emphasized the need for responses by the end of this week so the PRC can submit the report on time this year. She concluded by reminding the committee that this year’s report will include something to verify that the report contains the information the Council is hoping to receive and asking if this could be better formatted or reported. She added that the Annual report is also in the works.

1. Records Management Program Update

Gail Snow explained that lately she has been focused on drafting system requirements for the new records management system that is coming. They have been working with a KCIT Business Analyst who is new to the county and they hope to also organize a user group to bring everyone together to make design and functionality decisions. She also issued a reminder that the next RM Network meeting is January 31st in CNK 121 at 10am and expressed her hope that everyone would be there. She is also working on the stoplight report and plans to send that out for review later this week or early next week.

1. Summarize Take-Away Messages

Norm Alberg summarized the meeting’s take-away points:

* Norm Alberg is to remind Caroline Whalen about sponsorship for the Exiting Employee Policy
* Jamie Holter is on point for names of the KCIT Public Folders and SharePoint project leads
* Norm to schedule a planning meeting with Jamie Holter and Deb Kennedy about the communication plan about the discontinuation of the fee for service model.
* Digital Communications Survey responses are due by January 20th

Alberg then asked for any last minute items for the good of the order. Shelby Miklethun announced that all Public Records Officers will be getting reminder from her to get all information updated in CRM as she is preparing to pull data for the annual report that is due April 1st. She indicated that the report may be combined with Risk Management’s annual report since OCROG has merged with Risk Management. She also mentioned that Erika Sullivan will be out on leave for at least 5 months so her team will be looking for a person to fill that position.

1. 2016 Accomplishments-Appreciation and Celebration

Alberg then announced that as the committee is aware, the committee members and departments collected words describing Vice Chair Cynthia Hernandez which have been assembled into a Wordle (word cloud) celebrating her leadership on the work plan, driving things forward and creating such progress for the PRC in 2016. Hernandez thanked the committee and especially thanked them for their efforts the past year on the various work plan tasks.

Deb Kennedy added that she also wanted to call out a few other people even though they will not receive a Wordle. She recognized Lisa Mankin and thanked her for taking minutes, creating agendas, sending reminders to ensure all the minutes and agendas are reviewed and distributed on time.

Kennedy also thanked Shelley Harrison (who had to leave meeting earlier) for her excellent work on the Annexations Policy recognizing that this has been a huge issue for the county and expressing her gratitude for the great progress that has been made. She concluded by thanking the entire committee for their efforts.

1. Adjourn

Norm Alberg adjourned the meeting at 4:23pm.