**Public Records Committee (PRC)-KCIT Joint Meeting**

Chinook 115

November 20th, 2018

3:30-4:30 pm

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

|  |  |
| --- | --- |
| **Organization** | **Name** |
|  | **Staff** |
| Adult & Juvenile Detention |  |
| Archives, Records Management and Mail Services | Carol Shenk (phone); Deb Kennedy; Amanda Demeter (phone); Ellie Browning |
| Assessor’s Office |  |
| Community & Human Services | Amber Hebert |
| District Court | Peggy Wang (phone) |
| Elections |  |
| Executive Services |  |
| Executive Services: Office of Risk Management Services | Stephanie Santos (phone) |
| Executive Services: Records & Licensing Services | Norm Alberg (Chair) |
| Information Technology (KCIT) | Syrena Ogden; Ashley Boyd; Harry Clark |
| Judicial Administration |  |
| KC Council | Janet Masuo |
| Natural Resources & Parks | Cynthia Hernandez (Vice Chair); Patrice Frank (KCIT) |
| Office of the Executive |  |
| Permitting & Environmental Review | Kim Laymen (phone); Jonathan Bibler (phone) |
| Prosecuting Attorney |  |
| Public Defense | Alex Harris |
| Public Health | Tyler Entrekin (phone) Aaren Purcell |
| Sheriff’s Office | Kimberly Petty |
| Superior Court |  |
| Transportation | Cheryl Binetti (phone) |

1. Introductions

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

1. Approval of Minutes

Deb Kennedy moved to have the minutes of the October 9th meeting approved as written. Cynthia Hernandez seconded the motion. The minutes were unanimously approved as written.

1. KCIT/PRC Working Group

Cynthia began with a recap of the Working Group’s priorities to update PRC members attending that were not familiar with the joint KCIT-PRC group. Cynthia also reviewed the agenda of items to seek members advice on which topic should be given priority attention.

Records Repositories: Cynthia began with the overview of records repositories, clarifying that this is in regards to the wide variety of records storage system options for electronic records. The task is to understand the difference is between options and the purpose of each. Cynthia directed attention to The Draft Strategy, document created by Patrice Frank.. This document provides direction on how to determine what storage solution would be best for which function. Cynthia noted that while there seems to be a significant amount of emphasis on the move from shared drives to SharePoint, there were a number of other options available that departments and divisions were considering or even currently adopting. One specific example is a product called Glacier. Cynthia questioned the need and utility of this system—specifically why anyone would opt to file something into Glacier as opposed to the resources already available, such as Content Manager.

Aaren Purcell explained that the business need in Public Health is to store very old data that is not frequently used but is necessary for research projects on occasion. Patrice Frank added that the Department of Natural Resources and Parks’, Science Section uses the information for conducting studies and will rely on data 20-30 years in the. DNRP has been in communication with Colin Pedersen (KCIT) about storage for the data, and Glacier came up as an option.

Cynthia suggested that it would be useful to identify these unique instances where a repository outside of the ones already available to King County would be the preferred solution. Cynthia also reminded the committee that it is in King County Executive policy that records within their retention window be managed in the county’s Electronic Records Management system (which will soon be Content Manager (CM)). Aaren asked if CM is capable of managing records in place, and also emphasized that it is unclear when records should be managed in place or transferred to another repository. Cynthia responded that technically yes, records can be managed in place from CM, but that separate guidance should also be included when this might be the appropriate solution. Aaren asked if the preference to manage within CM is due to the retention requirements of records and Cynthia responded that it was in part, but also for a number of other reasons including central access and the requirement to retain in native format. Aaren suggested that these complexities be documented in any guidance produced in order for folks to have the information necessary to decide which storage solution they choose to use. Carol Shenk reminded members that records that designated as archival should be transferred to the King County Archives for permanent retention. Aaren responded that one of the issues with transferring electronic records to the Archives or any other storage repository is that many of the records are in workflows where they are linked from their current location, and if they are moved the links are broken. It was noted that to retain such links, the datasets and analysis tools would also need to be moved to the same environment. Aaren also explained that accessibility becomes more difficult once transferred. Carol questioned, however, whether this was not also an issue when records were transferred into Glacier. Aaren responded that this is exactly what they need to plan for and consider before moving records.

Norm questioned the frequency of the issue – is it an 80/20, where only about 20 percent of the time there were particular scenarios preventing storage in the County’s currently available repositories. Cynthia responded that yes, it is about 80/20. The biggest hurdle is creating documentation and guidance for these scenarios in order to begin to capture the exceptions. Cynthia added it is also just as important to acknowledge the existence of CM, and when it is better to manage records in place.

PST Files: Cynthia then moved the conversation to the topic of .pst files, asking KCIT what stage of the process they are in with the migration. Specifically, Cynthia asked Harry Clark and Ashley Boyd if there is guidance yet created for employees on preparing them for the .pst file conversion process. Cynthia also posed the question as to whether departments could get lists of the .pst files in existence. Ashley responded that because the lists would not produce any information for any .psts stored on local drives, he is not certain how valuable they would be. Harry did add that KCIT has already gone through the process a couple years ago, and they have designed a series of steps – a progressive lock down – established for the .pst elimination process. Aaren added that she did receive some .pst reports for Public Health and they were useful. It allowed them to identify users who had large numbers of .psts, as well as see files moved to shared drives. Public Health was also able to identify abandoned or system-generated .psts. Ashley Boyd responded that they could create reports for departments that need them. Deb asked what the best way to acquire these would be. Harry said that he will work with Katie Suvlu to identify what kind of reports could be generated and then get them to the PRC members. They can create and provide them to members as requested.

Patrice added that she has seen the documentation created by KCIT on the process of dealing with .psts and expressed that it was clear and useful. She explained that it walks employees through the process of identifying if they have .psts and how to move them into their in-boxes. She added that, in this regard, the information is useful for the individual user. Harry then sent the link to KCIT resources where the documentation could be found on the [KCIT Site](https://kc1.sharepoint.com/sites/KCIT/Workstation/Self%20Help%20Customer%20Knowledge%20Base/Forms/AllItems.aspx), also available on the [PRC SharePoint site](https://kc1-portal5.sharepoint.com/records/Shared%20Documents/PRC%20Meeting%20Packets/PRC%20Meeting%2C%20November%2020%2C%202018/PST%20Migration.pdf). Aaren added that they did use this documentation is Public Health – they had upper management walk through the process and there were some instances where employees were not able to identify .psts or fully complete the steps. She wanted to reiterate that users would have different levels of technical comprehension.

Cynthia confirmed that it sounds like there is a systematic rollout planned and suggested the PRC review this and provide feedback. Cynthia asked if there is a planned schedule for rolling the process out for the County, or if staff could just begin the process when they are ready. She emphasized that there is a high-level of anxiety about this and wanted those willing to begin the process. Ashley responded that staff can go ahead and begin the process now and explained that Transit has already moved their .pst files over a year ago with the help of Paula Adams.

Cynthia also added that she wanted to reiterate on Gail’s behalf the need to assess and provide guidance documentation for the pst file process with a records management lens and adding the appropriate disposition process. Ashley added that the target for the process to be completed is the end of 2019, but this is a soft deadline. Kimberly Petty asked if this deadline also included the Sheriff’s Office and Ashley responded that this deadline is mainly for Executive Branch agencies, but this could function as a good guide for all King County. Cynthia summarized that Harry will be creating an example report and if the agency does not find the report useful then they just need not ask for one.

Harry provided a summary of the time-frame, roughly a ten-week process from the moment they begin the process with the agency until the files are removed. However, when KCIT works with each agency they will align dates to be appropriate for that agency. In sum, the process begins with a phase of review and move files, then through stages of read-only until they can no longer view files, and then finally the records are removed completely. Ashley added that the process will be on a rolling cycle through the county, but there is no way for KCIT to monitor each specific agency as they complete the steps; the agency will need to monitor this and ideally there will be a subject matter expert within the agency to assist. Norm asked if DNRP has been comfortable with the process and Patrice responded that it is a work in progress for them, they are currently assigning individuals as the subject matter experts. Cynthia added that she will be going to management team meetings to communicate the plan and they will develop a model for the process as they move along. One other concern Cynthia wanted to reiterate is that this process assumes compliance on the user’s end. But, for records managers there is a heightened fear of the loss of records. Cynthia questioned who would be responsible to ensure compliance, and it sounded like this would fall upon the Agency Records Officers.

Shared Drive to SharePoint: Cynthia then moved the conversation to the topic of eliminating shared drives and asked if there is a process in place for this move. Ashley responded that like the .pst elimination plan, the internal users will largely drive this, but KCIT will provide the resources, including SharePoint training, necessary permissions, and tools to help copy items from drives to SharePoint. Harry continued that KCIT will be getting a project manager to help with this effort, but the ITSDMs will largely be the drivers for this. The project will require an analysis of the information, organizing it, eliminating what does not need to be moved over, and engaging a business analyst to assist with determining custom solutions for the information that cannot be moved. Ashley added that a business analyst will be assigned as needed. Harry also reiterated he will reach out to Gail about the Records Management guidance for the documentation of action taken process, as well.

1. Records Management Program Update  
   Deb provided an update regarding the move to Content Manager explaining that project team members recently presented to the Deployment Review Team (DRT) in order to: prepare leaders to more broadly promote records management, assess culture change to manage records from the point of creation through their entire lifecycle, promote the use of the Records Management Program tools available for all agencies, and how to incorporate an enterprise system more effectively. Deb explained the meeting was successful, and most of the questions related to the projected time commitment for staff during the transition. Deb also explained they approached the DRT for help with compliance, emphasizing that records management only has tools and resources to provide, but no way to ensure compliance. Deb and the project team members were interested in ways to get leadership involved in active conversations surrounding records management in their agencies.

Deb also reminded the committee that the Records Management Lead (RMLs) Orientation will be held on November 28 and thanked PRC members for their assistance identifying the staff to fill the lead role. At the meeting, there will be an overview of RMLs role, how Records Management will support them, the readiness checklist, training and communications plans, and a walk-through of the transition from KC ERMS to CM. Cynthia asked about the dates for the migration and Deb responded that it is still set for the end of Q1 2019 when training will be made available online, 6 weeks out from “go-live”. Cynthia asked for clarification on when RMLs would receive training, and Deb clarified that leads will receive training prior to other staff, likely in January. The RML Orientation will be recorded, available online afterword, available via Skype, and in-person in the King Street Center 8th floor conference room. Deb added that there will be a 2-3 month phase where KCERMS will be read-only. There will be some level of sending and retrieving physical records currently stored at the warehouse, but there will be no new accessions during this time. Amber Hebert asked how the read-only phase would affect public records request retrievals. Deb responded that the system can still retrieve and view records, but that she would reach out to Gail regarding the process of exporting records.

Deb concluded with an update that the Records Center move is complete and all 105,000 boxes have been moved from 1215 Fir Street to 7272 West Marginal Way.

1. Summarize / Take-Away Messages  
   a. Harry Clark will work with Katie Suvlu to create a useful .pst file report for agencies, and AROs will request one for their agency if they think they will be useful.

b. AROs should review the .pst documentation guidance and give feedback to Harry if there are concerns. Agencies can begin using this guidance if they feel they are ready.

c. Harry will reach out to Gail regarding Records Management documentation and guidance for the actions taken.

d. Deb will check with Gail regarding the KCERMS export function for public records requests during the read-only phase.

1. Adjourn

Meeting was adjourned at 4:30.