



**KING COUNTY**

1200 King County Courthouse  
516 Third Avenue  
Seattle, WA 98104

**Signature Report**

**December 3, 2013**

**Motion 14009**

**Proposed No.** 2013-0400.1

**Sponsors** von Reichbauer

1           A MOTION accepting the executive response to the 2013  
2           Budget Ordinance, Ordinance 17476, Section 29, Proviso  
3           P1; and authorizing the release of \$100,000 for the  
4           implementation of the training, installation, and ongoing  
5           use of the electronic records management system in county  
6           agencies for the purposes of adequacy and effectiveness of  
7           system implementation and acceptance.

8           WHEREAS, the 2013 Budget Ordinance, Ordinance 17476 contains a proviso P1  
9           in Section 29, records and licensing services, stating that of the appropriation for records  
10          and licensing services, \$100,000 shall not be expended or encumbered until the executive  
11          transmits a report and a motion that acknowledges receipt of the report and the motion is  
12          adopted by council, and

13          WHEREAS, the King County executive has transmitted to the King County  
14          council the requested report, and

15          WHEREAS, the King County council has reviewed the report developed by the  
16          records and licensing services division;

17          NOW, THEREFORE, BE IT MOVED by the Council of King County:

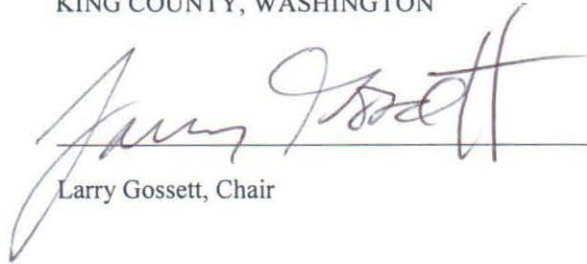
18          The proviso response is hereby accepted and the \$100,000 of the records and  
19          licensing

20 services appropriation, currently held in reserve in Ordinance 17476, Section 29, Proviso  
21 P1 is hereby released.  
22

Motion 14009 was introduced on 10/28/2013 and passed by the Metropolitan King County Council on 12/2/2013, by the following vote:

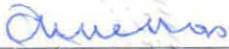
Yes: 9 - Mr. Phillips, Mr. von Reichbauer, Mr. Gossett, Ms. Hague,  
Ms. Patterson, Ms. Lambert, Mr. Dunn, Mr. McDermott and Mr.  
Dembowski  
No: 0  
Excused: 0

KING COUNTY COUNCIL  
KING COUNTY, WASHINGTON



Larry Gossett, Chair

ATTEST:



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Anne Noris, Clerk of the Council

**Attachments:** A. Report to King County Council - King County Electronic Records Management System (ERMS)

**Attachment A**

**Report to King County Council:**

**King County Electronic Records**

**Management System (ERMS)**

July 2013

In Response to

Ordinance 17476, Section 29, Records and Licensing Services, Proviso 1

ERMS Proviso Response - July 2013

**Summary of Proviso Requirement**

*Of this appropriation, \$100,000 shall not be expended or encumbered until the executive transmits a report and a motion that acknowledges receipt of the report and the motion are passed by the council. The motion shall reference the proviso's ordinance, ordinance section, proviso number and subject matter in both the title and body of the motion. The executive must file the report and motion required by this proviso by August 1, 2013, in the form a paper original and an electronic copy with the clerk of the council, who shall retain the original and provide an electronic copy to all councilmembers, the council chief of staff and the lead staff for the government accountability, oversight and financial performance committee or its successor.*

*The executive shall provide a report on implementation of the training, installation, and ongoing use of the electronic records management system ("ERMS") in County agencies for the purposes of adequacy and effectiveness of system implementation and acceptance. The report shall, at a minimum, include the following:*

- A. A summary of the ERMS and records management training provided to County agencies and the customized tools developed for them, including retention schedules, file plans and ERMS installation, between January 1 and June 30, 2013, and planned for the remainder of 2013, including a tally of agencies and employees that have received training and tools, and those that are scheduled;*
- B. A description of the accountability measures that have been implemented to ensure the County agencies and employees comply with appropriate records management protocols through ERMS on an ongoing basis and the mechanisms by which compliance is measured; and*
- C. A description of lessons learned to date, including changes made to or proposed for ERMS implementation, funding, training, tools development, tools distribution or outreach to County agencies.*

**Executive Proviso Response Team**

Norm Alberg	DES-Records and Licensing Services Division
Deborah Kennedy	DES-Records and Licensing Services Division
Gail Snow	DES-Records and Licensing Services Division

ERMS Proviso Response - July 2013

## **INTRODUCTION**

This report and its attachments constitute the Executive's response to a 2013 Council budget proviso related to the King County Electronic Records Management System (ERMS). This report contains four sections, as follows:

I. Executive Summary

II. Background

III. 2013 Budget Proviso and Executive Response

A. Summary of Training and Tools

1. Training Classes Provided
2. Tools Developed
3. ERMS Installations
4. July–December 2013 Workplan

B. Accountability Framework

C. Lessons Learned

IV. Attachments

## I. EXECUTIVE SUMMARY

Below is a summary of what has been accomplished, from January through June of 2013 by the Records Management program. The summarized information is organized by the three proviso requirement areas.

- A. *A summary of the ERMS and records management training provided to County agencies and the customized tools developed for them, including retention schedules, file plans and ERMS installation, between January 1 and June 30, 2013, and planned for the remainder of 2013, including a tally of agencies and employees that have received training and tools, and those that are scheduled;*
- Five records management classes have been developed and delivered in 31 sessions to over 200 attendees from 34 agencies.
  - Additional classes will be scheduled per the negotiated statements of work.
  - Seven agency specific retention schedules have been completed.
  - Four agency specific file plans have been completed.
  - A countywide General Records Retention Schedule is drafted and will be completed by September, 2013.
  - 146 ERMS installations have been completed in 14 agencies.
  - A records management work plan (July-December) has been developed, reflecting work in 33 agencies over the next six months.
- B. *A description of the accountability measures that have been implemented to ensure the County agencies and employees comply with appropriate records management protocols through ERMS on an ongoing basis and the mechanisms by which compliance is measured;*
- The Records Management (RM) program developed an Accountability Framework depicting expectations and responsibilities for the following four levels across the County: Leadership, Management, Records Management program and Employees. (see Appendix G)
  - Additionally, compliance measures have been developed for all four levels.
- C. *A description of lessons learned to date, including changes made to or proposed for ERMS implementation, funding, training, tools development, tools distribution or outreach to County agencies.*
- The Records Management Program has conducted numerous lessons learned sessions and has documented 17 program improvements that have been made or planned for implementation.

## II. BACKGROUND

One of the primary lessons learned during the ERMS project was that in order for agencies to successfully use the ERMS, a successful record keeping program must first be in place. There are four components to a successful record keeping program:

- **Records** – information resources, in any format, that are created or received in the course of conducting County business
- **People**- agency records management contacts who oversee records management practices within their area of responsibility and County employees who create, receive and use records in the conduct of County business
- **Processes** –records management policies and procedures documenting how County records should be managed throughout their lifecycle from the time of creation to their legal disposition
- **Tools** – retention schedules, file organizational plans and the ERMS equipment and software used to capture, organize, store, track and retrieve records

In order to ensure that successful record keeping programs are developed throughout the County, there must be a commitment to implementing records management best practices beginning with the highest levels of County government and ending with each County employee being held accountable for their own records management practices. This year, with the support of the King County Executive Office, the Records and Licensing Services Division (RALS) developed a top down countywide records management initiative to ensure agencies have the support, commitment and tools needed to implement records management best practices and appropriately use the ERMS as a records management tool.<sup>1</sup>

The objective of the top down countywide records management initiative is to assure that all County agencies follow records management best practice standards to achieve accountable, transparent, secure, and accessible records of all types. To accomplish this objective RALS established a maturity matrix for records management and is deploying improved records management practices through partnership with departments from the highest levels of leadership to all King County employees. RALS has asked leadership and managers to hold themselves and their employees accountable for adopting and employing records management best practices.

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<sup>1</sup>See Attachment A: Countywide Records Management Initiative Brochure

ERMS Proviso Response - July 2013

The initiative process begins when an agency's leadership signs a Service Level Agreement with RALS for the provision of records management fee-based services to implement records management best practices in their agency.<sup>2</sup> A Statement of Work and task schedule are then developed for RALS to provide the following services and tools:

- Records Management Training
- Records Retention Schedule
- File Organization Plan
- ERMS Subject Matter Expert Training & Support
- ERMS General User Training & Support
- ERMS Activation
- File-A-Thon
- ERMS Usage Reporting

Included in the Statement of Work is a provision for agency staff to participate in a lessons-learned survey to ensure the countywide records management initiative is meeting its objectives and participants are receiving quality training and products they can use to implement records management best practices in their work.<sup>3</sup> Participants will also complete a records management self-evaluation exercise that will demonstrate that employees have gained the knowledge needed to comply with records management requirements and/or identify areas where additional records management training is needed.

Following the closeout of the Statement of Work, the King County Records Management program will continue to assist agencies to align their active records filing structure with their retention schedules and file plans to support their continued use of the ERMS tool.

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<sup>2</sup> See Attachment B: Service Level Agreement Template

<sup>3</sup> See Attachment C: Statement Of Work Template



### III. 2013 BUDGET PROVISIO AND EXECUTIVE RESPONSE

*A summary of the ERMS and records management training provided to County agencies and the customized tools developed for them, including retention schedules, file plans and ERMS installation, between January 1 and June 30, 2013, and planned for the remainder of 2013, including a tally of agencies and employees that have received training and tools, and those that are scheduled:*

1. The King County Records Management Program offered the following classes from January 1 – June 30, 2013:

#### **Setting the Record Straight**

This class introduces participants to the King County Records Management Program and the countywide records management initiative. It informs County employees of their records management responsibilities and the laws and regulations governing the management of County records and demonstrates how improving records management practices can improve business processes. To support the training objectives of this class the following training materials were developed:

- *Essential FAQs! What Every King County Employee Needs to Know About Records Management*<sup>4</sup>
- *Email: To Save or Not to Save*<sup>5</sup>
- Take-away PowerPoint presentation slides

#### **Records Coordinator Training**

This course teaches participants how to properly manage inactive physical records including how to use the physical records module of the ERMS to transfer, retrieve and properly disposition records from the King County Records Center.

#### **ERMS Subject Matter Expert (SME) Training**

This course instructs ERMS SMEs of their roles and responsibilities and teaches participants the skills needed to become the primary records management contact within their area of responsibility. Participants learn how to serve as expert users of the ERMS with knowledge of file organization principles, how to build the ERMS folder structure for their workgroup, how to file electronic records including email, how to search and retrieve records from the system and gain basic troubleshooting skills.

#### **ERMS General User Training**

The ERMS General User Training provides employees with the tools and skills they need to declare and file their electronic records including email into the ERMS and to search and retrieve records from the system.

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<sup>4</sup> See Attachment D: Essential FAQs! What Every King County Employee Needs to Know About Records Management

<sup>5</sup> See Attachment E: Email: To Save or Not to Save

**ERMS Search Training**

This course instructs users how to use the metadata and keyword search options available in the ERMS including how to perform date range searches, format specific searches, Boolean structured search queries as well as how to save and export search results, which is often required when responding to Public Records Act and litigation discovery requests.

**Table 1: Agencies and Employees Who Have Received Training, January – June 2013**

Class Name	Number of Classes Held	Number of Participants	Number of Agencies	Agencies Participating
Setting the Record Straight	4	83	4	DES-RALS-ARMMS
				DES-RALS-Licensing
				DES-RALS-RASKC
				DES-RALS-Recorder's Office
Records Coordinator Training	9	78	25	DCHS-CSD
				DCHS-DIR
				DES-BRC
				DES-FBOD
				DES-FMD
				DES-HRD
				DES-RALS
				DJA-FIS
				DJA-GEN
				DNRP-PKS
				DNRP-SWD
				DNRP-WTD
				DOA
				DOT-DIR
				DOT-TRAN
				DPER
				DPH-CHSD
				DPH-EHD
				DPH-FASD
				KCC-BOE
KCC-OM				
KCDC				
KCEO-PSB				
SHERIFF-CID				
SHERIFF-TECHSVCS				

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ERMS Subject Matter Expert (SME) Training	12	14	3	DJA
				KCEO-OLR
				KCC-District Offices
ERMS General User Training	3	8	1	KCC-District Offices
ERMS Search Training	3	19	1	PAO-Civil Division

**Total Classes Held: 31**

**Total Number of Employees Participating: 202**

**Total Participating Agencies: 34**

2. The King County Records Management Program developed the following tools in order for agencies to implement records management best practices and comply with RCW 40.14.060, which states that any destruction of official public records shall be pursuant to a records retention schedule approved by the Washington State Local Records Committee.

**Countywide General Records Retention Schedule**

The countywide General Records Retention Schedule establishes King County’s official policy for the retention and disposal of records common to most County agencies. The schedule authorizes the destruction and/or archival transfer of County records relating to the management of County assets, finances, human and information resources in compliance with all regulatory requirements and County business needs.

**Agency Specific Records Retention Schedules**

Agencies may also have records unique to their specific functions and responsibilities which are not included on the General Records Retention Schedule. Retention periods for records unique to individual agencies are documented on customized Agency Specific Retention Schedules developed by the County Records Management Program in compliance with all regulatory requirements and County business needs.

**Agency Specific File Organization Plan**

A file organization plan is one of the essential components of a successful records management program. The file organization plan lists an agency’s records and describes how those records are to be organized and maintained for the required retention period established by the records retention schedule.

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**Table 2: Tally of Tools Provided to Agencies, January – June 2013**

Tool Name	Agency Name	Status, as of 6/30/2013	Scheduled Completion Date
Countywide General Records Retention Schedule	Countywide	Draft – currently under subject matter expert review	9/2013
Department Specific Records Retention Schedules			
	DES-RALS-ARMMS	complete	
	DES-RALS-Licensing	complete	
	DES-RALS-Recorder's Office	complete	
	DES-RALS-RASKC	complete	
	KCC-Council Clerk	complete	
	KCC-Central Staff	complete	
	KCC-District Offices	complete	
Department Specific File Organization Plans			
	DES-RALS-ARMMS	complete	
	DES-RALS-Licensing	draft	7/10/2013
	DES-RALS-Recorder's Office	draft	7/10/2013
	DES-RALS-RASKC	draft	7/10/2013
	KCC-Council Clerk	complete	
	KCC-Central Staff	complete	
	KCC-District Offices	complete	

**Total Retention Schedules Completed: 7**

**Total File Organization Plans Completed: 4**

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3. ERMS Installations

Once users have been properly trained on how to use the ERMS, the system is installed and activated on their desktop and they can begin using the system to manage their electronic records including email and/or to transfer inactive physical records to the King County Records Center.

**Table 3: Tally of ERMS Installations, January – June 2013**

Agency Name	Number of Installations
DCHS	3
DES	4
DJA	5
DNRP-DIR	1
DNRP-PKS	1
DNRP-SWD	2
DNRP-WTD	8
DPER	1
DPH	5
Elections	1
King County Council	56
KCSC	4
PAO	51
Sheriff	4
<b>Total</b>	<b>146</b>

4. Records Management Initiative Workplan

All agencies listed on the workplan below have signed a Service Level Agreement with RALS to participate in the fee-based countywide records management initiative this year. The exception being the nine district offices, Clerk of the Council's office, Council Administration and the central staff of the King County Council who began implementing records management best practices in 2012 prior to the records management initiative start date.

**Table 4: Records Management Initiative Projects Scheduled for July-December 2013**

Agency Name	July	August	September	October	November	December
DCHS-Director						
DES-FBOD-Benefits, Payroll and Retirement Operations ( <i>training and ERMS activation only – retention schedules and file plans developed 2012</i> )						
DES-FBOD-Business Development and Contract Compliance ( <i>training and ERMS activation only – retention schedules and file</i> )						

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Agency Name	July	August	September	October	November	December
<i>plans developed 2012)</i>						
DES-FBOD-Business Process Stabilization Services ( <i>training and ERMS activation only – retention schedules and file plans developed 2012)</i>						
DES-FBOD-Director ( <i>training and ERMS activation only – retention schedules and file plans developed 2012)</i>						
DES-FBOD-Financial Management ( <i>training and ERMS activation only – retention schedules and file plans developed 2012)</i>						
DES-FBOD-Payroll Systems and Operations ( <i>training and ERMS activation only – retention schedules and file plans developed 2012)</i>						
DES-FBOD-Payroll systems Support and Development ( <i>training and ERMS activation only – retention schedules and file plans developed 2012)</i>						
DES-FBOD-Procurement and Contract Section ( <i>training and ERMS activation only – retention schedules and file plans developed 2012)</i>						
DES-FBOD-Treasury Operations ( <i>training and ERMS activation only – retention schedules and file plans developed 2012)</i>						
DES-Office of Risk Management						
DES-RALS-ARMMS						
DES-RALS-Licensing						
DES-RALS-RASKC						
DES-RALS-Recorder's Office						
DNRP-Director's Office						
DOT-Director's Office						
DOT-Fleet Administration						
DOT-Marine Division						
KCC-Board of Appeals						
KCC-Central Staff( <i>as project began in 2012 fee-for-service requirement was waived)</i>						
KCC-Council Clerk( <i>as project began in 2012 fee-for-service requirement was waived)</i>						
KCC-County Auditor						
KCC-District Offices( <i>as project began in 2012 fee-for-service requirement was waived)</i>						
KCC-Ferry District( <i>as project began in 2012 fee-for-service requirement was waived)</i>						

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Agency Name	July	August	September	October	November	December
KCC-Flood District( <i>as project began in 2012 fee-for-service requirement was waived</i> )						
KCC-Hearing Examiner						
KCC-KCCT						
KCC-OLEO						
KCC-Ombudsman/Tax Advisor						
KCEO-Alternative Dispute Resolution						
KCEO-Deputy County Executive Pilot						
DAJD						

Additional agencies have signed service level agreements for work scheduled to begin 2014 and 2015.<sup>6</sup>

***B. A description of the accountability measures that have been implemented to ensure the County agencies and employees comply with appropriate records management protocols through ERMS on an ongoing basis and the mechanisms by which compliance is measured***

The object of the accountability framework is for all County agencies to follow countywide records management standards to achieve accountable, transparent, secure and accessible records of all types. The accountability framework requires accountability at four levels:

1. Leadership,
2. Management,
3. Records management program, and
4. County employees.<sup>7</sup>

The expectations and responsibilities of each level are as follows:

**1) Leadership – County Executive Office, County Council, Independently Elected Officials, County Operations Cabinet and County Public Records Committee**

Successful records management programs are part of an organization’s culture and are incorporated into its performance accountability structure. The individuals and bodies in this leadership role are responsible for providing overall direction, defining expectations, setting policy, allocating resources, establishing performance accountability measures, and providing general oversight of records management and incorporating records management requirements and policies into the County’s broader strategic planning framework.

<sup>6</sup> See Attachment F: RMI extended work plan

<sup>7</sup> See Attachment G: Records Management Accountability Framework

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Compliance Measurement Mechanism	Action	Measure
County leadership has designated an appropriate representative to the PRC	Email from Norm Alberg, Chair PRC, asking for designation and/or confirmation of PRC representative May 31, 2013	<p>Eleven responses received from the 18 agencies called out in Ordinance 17382. Responses received from:</p> <ul style="list-style-type: none"> <li>• Adult &amp; Juvenile Detention</li> <li>• Assessments</li> <li>• Community and Human Services</li> <li>• Elections</li> <li>• Judicial Administration</li> <li>• KCIT</li> <li>• Natural Resources &amp; Parks</li> <li>• Office of Labor Relations</li> <li>• Office of the Executive</li> <li>• PAO</li> <li>• Permitting and Environmental Review</li> <li>• Sheriff's Office</li> </ul>
Designated PRC representative actively participates by regularly attending meetings and casting pass/fail votes on records management work products requiring their approval		<p>Representative regularly attends PRC meetings:</p> <ul style="list-style-type: none"> <li>• Assessor</li> <li>• Council</li> <li>• Executive Services</li> <li>• Judicial Administration</li> <li>• Natural Resources &amp; Parks</li> <li>• Labor Relations</li> <li>• Permitting &amp; Environmental Review</li> <li>• Public Health</li> <li>• Transportation</li> </ul>
County leadership models records management best practices	Public Records Committee and Operations Cabinet adopted the accountability framework and endorsed the maturity model.	
County leadership approves records management policy and maturity model framework	Countywide records management policy is being drafted by a PRC work group.	



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To garner support for the records management initiative at the Leadership level, presentations explaining the initiative and the importance of implementing records management best practices were given to the Executive Leadership Team, the Operations Cabinet and the Public Records Committee.<sup>8</sup>

**2) Management – Department Directors, Deputy Directors, Division Directions, Section Managers, Operations Managers**

Individuals in this role are responsible for providing direction, setting expectations, allocating resources and establishing accountability for records management within their areas of responsibility. They demonstrate management’s commitment to records management best practices by:

- Entering into a service level agreements with RALS for participation in the countywide records management initiative
- Designating staff to serve as disposition authorities, records coordinators and ERMS subject matter experts with the skills, resources, time and authority necessary to perform those job duties successfully
- Integrating records management goals and expectations into direct report performance measures
- Modeling records management best practices in their own work

Compliance Measurement Mechanism	Action	Measure
Agency has appropriately designated disposition authorities	<p>The Records Management Program requests Agencies review and update their “Designation of Disposition Authority” forms biannually in order to ensure proper records disposition review and approval. Disposition authorities are responsible for:</p> <ul style="list-style-type: none"> <li>• Approving the destruction of agency records that have past their retention period</li> <li>• Approving the transfer of agency records designated as archival to the King County Archives</li> <li>• Providing testimony of the agency’s records disposition</li> </ul>	Of the 290 Department, Division, Section offices defined in the ERMS, approximately 120 have up-to-date Designation of Disposition Authority forms on file.

<sup>8</sup>See attachment H: RMI presentation

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	processes if required	
<p>Agency has appropriately designated records coordinators</p>	<p>Records coordinators are responsible for:</p> <ul style="list-style-type: none"> <li>• Understanding the County general records retention schedule and the agency specific records retention schedules</li> <li>• Working with the Agency Records Officer and the King County Records Management Program to ensure their office's retention schedules and file plans are updated and maintained to accurately reflect the records maintained by their office.</li> <li>• Utilizing the ERMS to transfer inactive boxes to the Records Center, request retrieval and refilling of inactive records, and to create file structure for filing of electronic records.</li> <li>• Coordinating ongoing record clean-up days and file-a-thons for their office.</li> <li>• Assisting agency staff with the use of the ERMS to file electronic records</li> <li>• Assisting staff in determining the correct records series schedules that to apply to their records</li> <li>• Preparing inactive records for storage at the King County Records Center</li> <li>• Coordinating requests for box retrievals from the records center as well as requests to return retrieved records to inactive storage at the Records Center</li> </ul>	<p>There are 568 individuals with records coordinators privileges in the ERMS. Four hundred fourteen (414) of these are records coordinators for physical records only. One hundred fifty-four (154) serve as both records coordinators and subject matter experts for the electronic records module.</p>

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	<ul style="list-style-type: none"> <li>• Disseminating records management information received from the County Records Management Program to agency staff</li> <li>• Attending Records Coordinator Training offered by the County Records Management Program and other records management training as needed to assist agency staff in following correct records management practices.</li> </ul>	
Compliance Measurement Mechanism	Action	Measure
Agency has appropriately designated ERMS SMEs	<p>SMEs are essential to implementing and supporting records management best practices at the agency level. SMEs understand the work performed and the records created in their offices and serve as the primary records contact within their area of responsibility. SMEs commit to performing the following tasks:</p> <ul style="list-style-type: none"> <li>• Assist King County Records management (KCRM) staff to identify and schedule needed records retention schedule interviews with office staff</li> <li>• Verify the ERMS is installed correctly on each desktop</li> <li>• Attend Records Management for the SME and ERMS Advanced User training</li> <li>• Assist KCRM with the development of the office file organization plan</li> <li>• Build office file structure in the ERMS with input from KCRM and office staff</li> <li>• Provide on-going help to office staff with the use of ERMS – primarily with filing and</li> </ul>	<p>There are currently 348 designated subject matter experts in the ERMS. One hundred ninety-four of these (194) have subject matter expert privileges only. One hundred fifty-four (154) serve as both records coordinators and subject matter experts for the electronic records module. New SMEs are designated when the records management initiative statement of work is negotiated.</p>

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	<p>searching functions</p> <ul style="list-style-type: none"> <li>• Work with KCRM to coordinate office File-A-Thon</li> </ul> <p><b>Requirements</b></p> <ul style="list-style-type: none"> <li>• Technologically proficient</li> <li>• Possess basic records management knowledge or have a demonstrated interest and capacity for learning basic records management skills such as understanding and applying records retention schedules, record organization and proper disposition methods</li> <li>• Knowledgeable of work performed and records created and maintained by the office</li> <li>• Have time and resources needed to perform the work</li> </ul>	
Agency has a comprehensive legally compliant records retention schedules		<p>DES-Director (pilot) DES-RALS Administration (pilot) DES-RALS-ARMMS DES-RALS-Licensing DES-RALS-Recorder DES-RALS-RASKC DES-OCR KCC-Administration KCC-District Offices KCC-Clerk of the Council KCC-Central Staff</p>
<b>Compliance Measurement Mechanism</b>	<b>Action</b>	<b>Measure</b>
Agency has a file organization plan		<p>DES-Director (pilot) DES-RALS Administration (pilot) DES-RALS-ARMMS DES-OCR KCC-Administration KCC-District Offices KCC-Clerk of the Council KCC-Central Staff Office of Labor Relations KCIT-CIO</p>

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<p>Agency staff has participated in required records management and ERMS training</p>	<p>These agencies have attended training in 2013.</p>	<p>DES-RALS DCHS-CSD DCHS-DIR DES-BRC DES-FBOD DES-FMD DES-HRD DES-RALS DJA-FIS DJA-GEN DNRP-PKS DNRP-SWD DNRP-WTD DOA DOT-DIR DOT-TRAN DPER DPH-CHSD DPH-EHD DPH-FASD KCC-BOE KCC-OM KCDC KCEO-PSB SHERIFF-CID SHERIFF-TECHSVCS DJA KCEO-OLR KCC-District Offices KCC-District Offices PAO-Civil Division</p>
<p><b>Compliance Measurement Mechanism</b></p>	<p><b>Action</b></p>	<p><b>Measure</b></p>
<p>Agency has installed the ERMS</p>	<p>New installations in 2013 Includes both the physical and electronic records management modules of the ERMS</p>	<p>DCHS DES DJA DNRP-DIR DNRP-PKS DNRP-SWD DNRP-WTD DPER DPH Elections King County Council KCSC</p>

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		PAO Sheriff
Agency staff actively utilizing the ERMS and the King County Records Center to manage inactive records		In 2013, 957 employees have used the ERMS web interface to access either the physical or electronic records management modules of the ERMS. During the same period 125 employees have filed at least one electronic document in the ERMS.

**3) King County Records Management Program**

RALS (via the King County Records Management Program) is responsible for providing the tools and training needed for each County employee to follow compliant records management practices. RALS is responsible for:

- Provides (via a service level agreement) records management training, legally compliant records retention schedules, file organization plans and activation of the ERMS
- Provides post-ERMS activation support to ensure continued use of the system
- Develops an annual work plan and forecast for records management initiative participants
- Reports agency usage of the ERMS to management on a monthly basis<sup>9</sup>

Compliance Measurement Mechanism	Action	Measure
Records Management training developed, held and is effective as demonstrated through course evaluations	King County Records Management Program has developed four classes and presented 31 sessions.	Course evaluations show that 98 percent of participants agree that the quality of the training was high.
Records retention schedules are developed by the due dates established in the task schedule, are compliant with regulatory requirements, and are approved by the client Agency and PRC	Final approval of the retention schedules by the PRC is scheduled following the file-a-thon event in the agency.	Ninety-eight percent of schedules completed in 2013 have been completed by the due dates established in the task schedule.
File plans are developed by the due dates established in the task schedule and are approved by the client Agency		Ninety-eight percent of file plans completed in 2013 have been completed by the due dates established in the task

<sup>9</sup>See Attachment I: ERMS Monthly Activity Report Template

ERMS Proviso Response - July 2013

		schedule.
ERMS security reports and office configurations are developed by the due dates and are approved by the client Agency		Ninety-eight percent of ERMS security reports completed in 2013 have been completed by the due dates established in the task schedule.
ERMS usage reports are accurate and submitted by the due dates	Usage reports are generated monthly for the three months immediately following the file-a-thon.	Usage reports are submitted by the due dates.

In addition, RALS provides periodic reports on the status of the records management initiative to the Operations Cabinet and the Public Records Committee.

**4) Employees**

Managing and providing access to the County's records is a job shared by everyone. Each County employee is responsible for:

- Creating records needed to document the work they are responsible for
- Maintaining records in a way that allows them to be easily retrieved and accessed when needed
- Disposing of records in accordance with an approved records retention schedule
- Appropriately applying legal holds to records needed in response to a current public records request, audit, investigation or a current or imminent litigation action.

Compliance Measurement Mechanism	Action	Measure
Attend required records management training	The ERMS is only activated after the employee has attended the required training.	Eighty-three (83) employees from four agencies have attended the mandatory Setting the Records Straight training in 2013.
Attend required ERMS training	The ERMS is only activated after the employee has attended the required training.	One hundred employees have attended the ERMS user training in 2013.
Complete Records Management Self Evaluation <sup>10</sup>	Employees are invited to complete the Records Management Self Evaluation during the file-a-thon event.	Self-evaluations will be distributed in August during the scheduled file-a-thon events.
Utilize ERMS to manage inactive records	Usage is monitored and reported to agency	Monthly reports are being distributed to:

<sup>10</sup>See Attachment J: Records Management Self Evaluation

ERMS Proviso Response - July 2013

	management in the monthly reports for the three months immediately following the file-a-thon.	DES-Director (pilot) DES-RALS Administration (pilot) DES-OCR KCC-District Offices
--	-----------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------

*C. A description of lessons learned to date, including changes made to or proposed for ERMS implementation, funding, training, tools development, tools distribution or outreach to County agencies.*

The records management initiative process is under continuous improvement to ensure records management best practices are implemented throughout the County in the most efficient way possible. Agencies participating in the initiative will be asked to complete a “lessons learned” survey prior to the closeout of the Statement of Work

**Table 5: Countywide Records Management Initiative Lessons Learned to Date**

Topic	Issue	Improvement Made or Planned
Communication	SMEs did not always understand their project roles and responsibilities	<ul style="list-style-type: none"> <li>Agencies designate SMEs in Statement of Work so individuals are involved early in the project</li> <li>RM developed an ERMS SME job description</li> <li>RM meets with SMEs early in project implementation to review SME job description, discuss project steps and refine task implementation schedule</li> </ul>
	Management did not always have the information necessary to help move the project to completion	<ul style="list-style-type: none"> <li>RM/Agency sign Service Level Agreement committing management to implementation of records management best practices</li> <li>RM/Agency sign a Statement of Work that details project steps and responsibilities</li> <li>RM developed a project tracking tool (visual poster) for office to clearly identify project steps and progress</li> <li>RM gives periodic progress reports to management</li> <li>RM provides the Agency with training and work product due dates (retention schedules, file plans, security report, etc.)in the form of a task schedule to accompany the Statement of Work</li> </ul>
SME Support	SMEs did not always have	<ul style="list-style-type: none"> <li>RM will include approximate number of</li> </ul>



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Topic	Issue	Improvement Made or Planned
	the time needed to complete the ERMS file structure	<p>hours SMEs should be allowed to build file structure in RM/Agency agreement (<i>Data is currently being gathered for RM provide accurate estimates</i>)</p> <ul style="list-style-type: none"> <li>• SME is currently given two weeks to complete majority of file structure. This timeframe will be adjusted based on the gathered time tracking data.</li> <li>• RM provides SME one on one support during the two week file structure development period</li> </ul>
Management Support	SMEs sometimes did not have the will to complete the ERMS file structure (competing priorities)	<ul style="list-style-type: none"> <li>• Management communicates project importance/support to staff</li> <li>• Management holds SME accountable for project tasks by asking for status reports etc.</li> <li>• RM developed boilerplate communications for management use</li> <li>• RM submits period project and the ERMS use reports to management and SMEs</li> </ul>
Project Implementation Schedule Issues	Accelerated implementation schedule was unrealistic	<ul style="list-style-type: none"> <li>• RM continues to track project implementation time to develop more realistic schedules</li> </ul>
	Some projects put on hold to address unplanned issues that took priority	<ul style="list-style-type: none"> <li>• RM builds flexibility into implementation schedule as much as possible</li> </ul>

Since January 1, 2013 the Records and Licensing Services Division, via the King County Records Management Program, has designed or revised five training courses, held 31 classes with a total of 202 participants; they have completed seven unique records retention schedules and four file organization plans; and have installed the electronic records management system for 146 new users. This work has increased the number of documents filed in the ERMS by over 400 percent compared with the same period in 2012.<sup>11</sup>

<sup>11</sup>See attachment K: ERMS use metrics 2012-2013

#### **IV. ATTACHMENTS**

- A: Countywide Records Management Initiative Brochure
- B: Service Level Agreement Template
- C: Statement of Work Template
- D: Essential FAQs! What Every King County Employee Needs to Know About Records Management
- E: Email: To Save or Not to Save
- F: RMI extended work plan
- G: Records Management Accountability Framework
- H: RMI presentation
- I: ERMS Monthly Activity Report Template
- J: Records Management Self Evaluation
- K: ERMS use metrics 2012-2013

Attachment A: Countywide Records Management Brochure

### What is a Record?

A record is information created or received while conducting county business regardless of the format. Records are:

- Valuable assets essential to the operations of King County
- Evidence of responsible management and expenditure of public funds
- A public trust

### What Are Your Record Management Responsibilities?

As county employees we all have four basic records management responsibilities:

- Create the records needed to document the work for which we are responsible
- Maintain our records in a way that allows them to be easily retrieved and accessed when needed
- Only dispose of records in accordance with an approved records retention schedule
- Not disposing of records if they are needed to respond to a current public records request, audit, investigation or a current of imminent litigation action

RCW 40.14.010 states "public records shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording map, drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the State of the State of Washington in connection with the transaction of public business, and legislative records as described in RCW 40.14.100."

### Why is Records Management Important?

Not only is Records Management a legal requirement (see RCW – insert above), employing the following records management best practices provides:

- A demonstration of professional stewardship and an expectation of our citizens (e.g. PDR's)
- Evidence of county business
- Minimizes County risk/financial exposure
  - In 2012 KC paid \$11,855 in records related fines plus \$1,478,000 in damages as a result of records not being provided during discovery
  - During 2000-2012, the average cost of a records related claim against the county was \$219,523, 7.6 times the average of all claims paid by the county
- Government transparency
- Reduce operating costs
- Improve efficiency and productivity
- Preserve the County's institutional memory

### Countywide Records Management Initiative

The Countywide effort consists of

- Ensuring accountability, top down support and visibility
- Establishing a countywide records management policy
- Moving the county up the maturity model of records management practices
- Providing records management services to agencies on a **fee-for-service basis**

#### Fee-for-Service Process

The agency's leadership commits to implementing records management best practices in their offices and assigns dedicated staff to serve as subject matter experts. The Records Management Program will work with agency leadership to **negotiate a fee-for-service agreement and statement of work**, including estimated number of hours which vary depending upon number of users and complexity of records at the rate of **\$58.00 per hour** to provide:

- Basic records management training
- Retention schedule and file organization plan development
- KC ERMS implementation and training
- File-a-thon to jump start employee's filing

Following the KC ERMS implementation Records Management will assist agencies to align their active records filing structure with their retention schedules and file plans to support their use of the KC ERMS tool.

## Attachment B: Service Level Agreement Template

SLA # 2013-00X

**Records Management Initiative  
Service Level Agreement  
Between  
Department of Executive Services, Records and Licensing Services Division, Archives,  
Records Management and Mail Services Section  
and [Customer name]**

The Department of Executive Services, Records and Licensing Services Division (RALS), Archives, Records Management and Mail Services Section (ARMMS) herein referred to as ARMMS and the [Customer name], herein referred to as CUSTOMER, enter into this Service Level Agreement (Agreement) for records management services intended to achieve compliance with the Countywide Records Management Initiative and bring about the implementation of records management best practices within the [Customer Name].

### Description of Service

This service level agreement covers the development of records management tools customized for the Customer including State of Washington compliant retention schedules and file organization plans; basic records management training, training on the use of the King County Electronic Records Management System (KC ERMS), activation of the KC ERMS (following training), and guidance through a file-a-thon under the policies and responsibilities as listed in this agreement and agreed upon by the two parties. The project scope, deliverables, cost estimate and payment terms will be detailed in the statement of work. The Project Schedule will be delivered 10 days after the SOW approval.

### COSTS

Costs of this service will be borne by the customer. Costs will be billed on an hourly basis in quarter hour increments. The hourly rate will be subject to adjustment on a calendar year basis. The current (2013) rate is \$58.00 per hour.

The statement of work will include not to exceed and contingency amounts. If the work performed by ARMMS Records Management Specialists reach the not to exceed amount, ARMMS will notify the customer via email. The customer can approve use of the contingency via email. Any additional work that would raise the cost of the project beyond the contingency amount will require an amendment to this Agreement.

### Financial Arrangement

As the service provider, ARMMS will be responsible for preparing periodic billing notifications. Billing notifications shall indicate the total number of hours completed for each of the categories involved in the service. Billing notifications shall be sent via email to the Customer's SME, unless otherwise requested by the Customer. This Agreement shall constitute authorization to process reimbursement for the hours completed. Payment will be processed via the Oracle Projects and Grants module, using a Miscellaneous Transaction. The Customer will be responsible for providing agency information and complete POETA coding prior to the start of Work. Under this Agreement, the Customer may include multiple workgroups. Complete coding for each cost center shall be provided by the Customer.

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**Attachment C: Statement of Work Template**



**Statement of Work**  
**Department of Executive Services**  
**Records Management Initiative**  
**SLA \_2013-xxx\_**

---

[Date]

## Attachment D: Essential FAQs! What Every King County Employee Needs to Know About Records Management

# ESSENTIAL FAQs!

### WHAT EVERY KING COUNTY EMPLOYEE NEEDS TO KNOW ABOUT RECORDS MANAGEMENT

#### 1. What is a County Record?

The Revised Code of Washington (40.14.010) states that "public records shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map, drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the State of Washington in connection with the transaction of public business, and legislative records as described in RCW 40.14.100."

Or, from a records management point of view, it's a record if the office/person created or received it in the course of performing county business.

#### 2. What are my records management responsibilities?

As a County employee, you have four basic responsibilities:

- **Document your work:** Create records needed to document the work for which you are responsible.
- **Organize and maintain your records:** Organize your records so that information can be found when needed. This means setting up good directories and files, and filing materials (in whatever format) regularly and carefully and in a manner which allows them to be safely stored and efficiently retrieved when necessary.
- **Abide by the retention schedule:** Carry out the disposition of records under your control in accordance with the County's records retention schedules and State record keeping requirements.
- **Comply with required legal holds:** Do not dispose of records if they are needed in response to a current public records request, audit, investigation, or a current or imminent litigation action.

#### 3. How long do I keep my records?

Your records are considered county property and must be maintained and disposed of in accordance with an approved records retention schedule. The County's Records Management Program is responsible for identifying retention periods for the County's records based on the function of the records, applicable legal requirements and the administrative value of the records. If you are not certain which records retentions apply to your records, contact the County Records Management Program for assistance (206) 296-1572.

#### 4. Should I ever keep records longer than it says to in the records schedule?

As a general rule, records should be disposed of as soon as their retention period ends. There are certain circumstances where there is an exception to this rule.

Records needed in response to a current public records request, audit or investigation or a current or imminent litigation action must not be destroyed until the actions involving those records have concluded.

#### 5. What if I delete or dispose of a record before its time?

Unlawful destruction of government records may have serious consequences. According to Washington State Code RCW 40.16.010, "every person who shall willfully and unlawfully remove, alter, mutilate, destroy, conceal, or obliterate a record, map, book paper, document, other thing filed or deposited in a public office, or with any public officer, by authority of law, shall be punished by imprisonment in a state correctional facility for not more than five years, or by a fine of not more than one thousand dollars, or by both." It is also costly for King County government when records are not produced for public records requests.

## Attachment E: Email: To Save or Not to Save

### *Email: to save or not to save?*

#### **E-mail: What to read and delete...**

Do you ever wonder if you should keep or delete that e-mail message that you've just read? Sometimes the answer is clear and other times it's as clear as mud. The result of this uncertainty is that we often save and file more e-mail than is necessary. This practice takes up valuable server space and makes it difficult to locate important messages quickly when you need them.

What is worse, however, is finding out that you've deleted a message that you should have retained as the official record of a transaction or decision.

In order to manage your e-mail properly, you need to know the difference between an official government record that should be filed and retained according to an approved records retention schedule, and a "transitory" record which can be deleted as soon as you no longer need it.

#### **What is an e-mail record?**

Messages that document County functions, provide evidence of County business transactions, or are needed to provide information about actions related to County projects and activities are government records and must be retained and managed in compliance with County records retention schedules and State recordkeeping requirements.

#### **What is a transitory e-mail record?**

Transitory records are records that are required for only a short period of time to facilitate the completion of a routine action or the preparation of a subsequent record. Transitory records are not required to meet legal obligations, or to document the decisions or actions of your office.

Below are some examples of transitory records that you can discard as soon as you no longer need them, or see the examples to the right:

- Miscellaneous notices or memoranda, such as broadcast e-mail notices of holidays or special events, minor information items concerning routine administrative matters or other issues not directly pertaining to the functions of your office
- Informational copies of widely distributed materials that you/your office is not the creator or sponsor of such as meeting minutes, agendas, or newsletters
- Preliminary drafts of letters, memoranda, or reports and other informal notes which do not document substantive changes in the preparation of a final document
- Duplicate copies of documents that are retained only for convenience or future distribution
- Personal messages such as "want to meet for lunch?" or phone messages such as "please return Robert's phone call"
- Publications such as informational newsletters, catalogues, and pamphlets received from outside sources
- Unsolicited advertising materials company brochures, price lists, menus, etc.

Email  
→ Me ←

File  
Draft

Rush!

Let's do  
Lunch!

Schedule  
Change

You ←  
have a  
Message

UPDATE

F.Y.I

Call  
Me!

Attachment F: RMI Extended Work Plan

	2013				2014				2015			
	July	August	September	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alternative Dispute Resolution												
Community and Human Services--Director												
Council Central Staff												
Council Independent Agencies												
Executive Office--Pilot												
Finance and Business Operations Division												
Judicial Administration												
KC Ferry District												
KC Flood District												
Natural Resources and Parks--Director's Office												
Natural Resources and Parks--Solid Waste Division												
Office of Emergency Management												
Office of Law Enforcement Oversight												
Office of Risk Management												
Performance, Strategy and Budget--Pilot												
RALS--ARMMS												
RALS--Licensing												
RALS--Recordings												
RALS--Regional Animal Services												
Transportation--Director's Office												
Transportation--Fleet Administration												
Transportation--KC Airport Division												
Transportation--Marine Division												
Transportation--Road Services Division												

All agencies on this list, with the exception of the Council Central Staff, have signed a service level agreement with Archives, Records Management and Mail Services

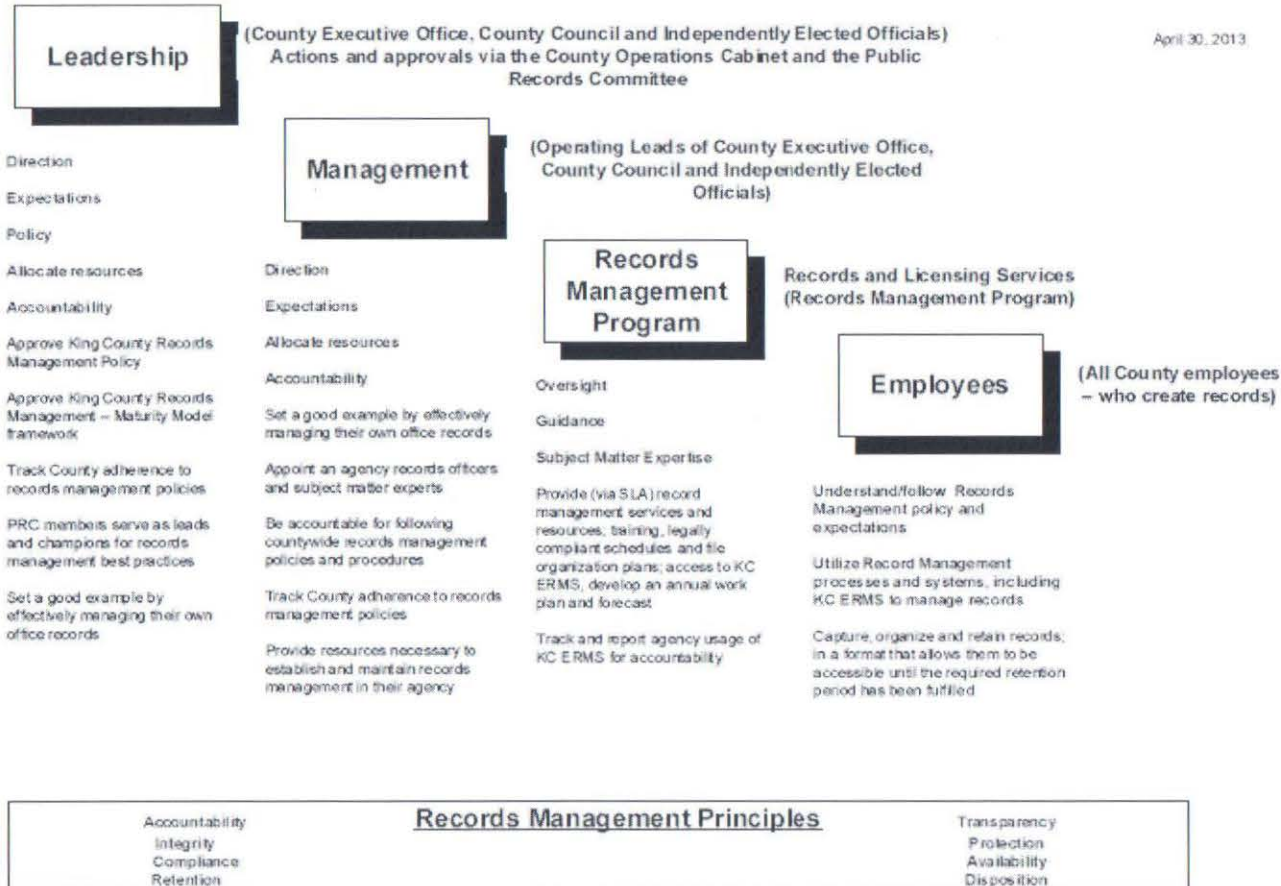


Attachment G: Records Management Accountability Framework

## Countywide Records Management – Accountability Framework

Objective: All County agencies follow countywide records management standards to achieve accountable, transparent, secure and accessible records of all types

April 30, 2013





**King County**

## King County – Records Management

### Agenda

- Presentation Objectives – Caroline Whalen
- Quad Chart Overview – Caroline Whalen
- Legal/Risk Perspectives - David Eldred, Jennifer Hills
- Records Management Services - Norm Alberg
- Records Management Guidance - Norm Alberg
- Call to Action

February 5, 2013

**Attachment I: ERMS Monthly Activity Report Template**

[Department Name – Division Name]  
KC ERMS Monthly Activity Report  
[Month] 2013

DDS	User Name	Records filed since [previous month]	Total records filed	Notes/Recommendations

Date:

**Attachment J: Records Management Self Evaluation**



**About this Evaluation**

The King County Records Management Program has developed this evaluation in order to gain a better understanding of county employees' knowledge of records management requirements. Participation in this evaluation will help us plan and develop future records management training opportunities. This guide is also a tool for employees to use help identify the areas where they could make improvements and increase their own knowledge. Please answer all the questions honestly and to the best of your ability.

COMPLIANCE:		Yes	No	Not Sure	N/A
1	I am aware of the "Records Life Cycle" model	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	I understand that according to RCW40.14.060 destruction of public records is unlawful unless carried out according to an approved records retention schedule.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	I am aware that unlawful destruction of public records is punishable by imprisonment and/or fines according to RCW 40.16.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	I understand that confidential records must be disposed of by reducing them to an illegible condition according to WAC 434-640-020	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	I know that if I scan my records in order to destroy the paper versions, it must be done so in accordance with an approved County DAD (Destruction After Digitization) authorization form and in compliance with WAC-434-663	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
TRANSPARENCY:		Yes	No	Not Sure	
1	I am knowledgeable of the importance of transparency in government recordkeeping and I create the records necessary to document the activities I am responsible for and the decisions I make.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	I am aware of public disclosure laws and understand I am responsible for providing records for public disclosure requests.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	If my work has a regulatory compliance component, I create all records required by applicable regulations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INTEGRITY:		Yes	No	Not Sure	
1	My electronic records are filed in a way that ensures they remain accessible for their entire retention period, and their chain of custody and metadata can be authenticated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	I file my active electronic records in clearly and consistently labeled folders on a network drive.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	I am aware that electronic records which I create involving County business, including email, digital photos, databases, and word documents, as well as social media records such as Twitter, Facebook and blog posts, etc. are all considered public records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	I know that I must keep my email in its native format in order to properly retain its metadata for records management purposes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	I organize my paper records so that they can be identified as originating from me and they demonstrate the work I produce.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	When I work from home, I routinely transfer, maintain, and store my documents to a work computer. I do not retain County records on my home computer or personal devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AVAILABILITY:		Yes	No	Not Sure	
1	I organize my files in a clear and coherent labeled filing structure, and in a way which allows them to be retrieved easily by myself or my coworkers.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	I keep my personal records and reference materials separately from my official records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

King County Records Management Program  
Please visit <http://kweb.metrokc.gov/archives/rm.aspx>, or contact King County Records Management at 206-296-1572 or more information.

Attachment K: ERMS use metrics 2012-2013

2012	Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec	Totals 2013
Unique users accessing ERMS via the web portal. Includes users of the physical records module.	392	394	424	358	328	314	306	338	299	352	313	328	1,390
Users filing at least one electronic document	58	62	55	62	67	62	56	58	49	62	51	58	153
Documents filed into the system	29,416	32,161	28,186	22,672	37,386	22,114	46,830	53,695	16,274	18,474	20,537	64,987	392,732

2013	Jan	Feb	Mar	Apr	May	June	As of 6/30/2013
Unique users accessing ERMS via the web portal. Includes users of the physical records module.	351	340	343	366	344	358	957
Users filing at least one electronic document	60	76	65	59	51	64	125
Documents filed into the system	76,136	409,113	43,658	39,517	96,031	45,592	710,047

The totals for the number of users do not represent the sum of users each month but rather the total number of unique users of either the web portal or those who have filed at least one electronic document in the given period.