

Florida Department of State Division of Library and Information Services Electronic Records Management Follow-Up Survey of State Agencies 2011 Overview of Survey Results

Introduction

In 2009, as recommended by the Office of Program Policy Analysis and Government Accountability (OPPAGA) reports 07-06 (January 2007) and 08-66 (November 2008) on electronic records management, the Department of State, Division of Library and Information Services developed an [Electronic Recordkeeping Strategic Plan 2010-2012](#) to assist state agencies in the proper management of their electronic records. The OPPAGA reports also recommended that the Division survey state agencies annually on their electronic records management practices.

In January 2011, the Division conducted a follow-up survey of state agencies in order to assess progress towards the success measures included in the Electronic Recordkeeping Strategic Plan.

The first six questions of the survey requested identifying information about the agency and survey respondent. The remaining 12 questions corresponded to the 12 success measures of the Strategic Plan that address the:

- Level of the agency's Records Management Liaison Officer (RMLO) position within the agency.
- Agency's integration of its electronic records management with its overall recordkeeping.
- Agency's process for managing electronic records migration.
- Inclusion of a records retention and disposition requirement in the agency's information systems development methodology.
- Inclusion of a records manager in the agency's information technology project development and implementation process.
- Records management requirements for email.
- Protection of confidential or exempt information when providing access to and disposing of electronic records.
- User training on responsibilities for managing electronic records.

Survey Methodology

The survey was conducted using the online survey tool SurveyMonkey™. An email with a link to the survey and an attached PDF copy of the survey was sent to 36 state agency Records Management Liaison Officers (RMLOs); they were given five weeks to complete the survey. The email indicated that it might be necessary to consult with agency information technology staff in order to complete the survey. Follow-up emails were sent to those RMLOs who had not responded after 15 days. Phone calls were placed to those who had not responded after four weeks, and then again the day before the deadline if they still had not responded.

Eventually, responses were received from all but one agency (Executive Office of the Governor).

Survey Results

Each of the 12 success measures of the Strategic Plan specifies the percentage of state agencies that must achieve the measure by December 31, 2012, in order to be successful. Based on the survey results, with 35 agencies responding, eight of the targeted percentages have been met in this first year of the plan and four have not.

Success measures where **targeted percentage has been met**:

- **Measure #1** – 71.4 percent of state agencies report that their records management liaison officer holds a senior-level position or reports to a senior-level position and has the authority to establish and implement an agency-wide recordkeeping program. Targeted percentage is 50.
- **Measure # 2** – 80.0 percent of state agencies report that their electronic records management is integrated within the agency’s overall recordkeeping program. Targeted percentage is 75.
- **Measure #5** – 71.4 percent of state agencies report that they have a process to determine how to transfer records to ensure their continued accessibility. Targeted percentage is 70.
- **Measure # 8** – 74.3 percent of state agencies report that when looking for email solutions, they include a records management functional requirement. Targeted percentage is 65.
- **Measure # 9** – 77.1 percent of state agencies report that their employees are made aware of the responsibility to manage their email according to established retention schedules. Targeted percentage is 75.
- **Measure # 10** – 97.1 percent of state agencies report that they have adopted a set of procedures for public records requests which include provisions for redacting confidential or exempt information. Targeted percentage is 95.
- **Measure #11** – 97.1 percent of state agencies report that they have adopted a set of procedures for the disposal of public records which include provisions for ensuring confidential or exempt information cannot be read or reconstructed. Targeted percentage is 85.
- **Measure #12** – 80.0 percent of state agencies report that they identify and train electronic records users to be aware of their specific responsibilities for managing electronic records and information resources. Targeted percentage is 80.

Success measures where **targeted percentage has not been met**:

- **Measure #3** – 45.7 percent of state agencies report that the records management liaison officer and chief information officer or other designated information technology staff have regular meetings to discuss systems development and enhancement and related records management requirements. Targeted percentage is 60.

- **Measure #4** – 65.7 percent of state agencies report that they have a process to review retention requirements of records stored in systems that are slated to be upgraded, replaced, or taken out of use. Targeted percentage is 70.
- **Measure #6** – 57.1 percent of state agencies report that they have a records management component in the agency’s Information System Development Methodology (ISDM) that includes requirements for records retention and disposition in accordance with established retention schedules. Targeted percentage is 70.
- **Measure #7** – 54.3 percent of state agencies report that they include a records manager in their information technology project development and implementation. Targeted percentage is 60.

Other observations:

- 97 percent response rate (35 out of 36 responses)
- 80 percent, or 28, of the survey responses were submitted by the agency RMLO. This is down from 91.7 percent, or 33 responses, from the initial survey.
- Three agencies (DEP, DMS, and PERC) answered “yes” to all the success measure questions.
- Based on comments submitted, several agencies are taking significant actions to meet the success measures of the strategic plan.
 - DMS formed an Executive Records Management Team in January 2009 to ensure compliance with the 12 success measures. The team consists of the Chief Information Officer, the Director of Administration, the RMLO, the agency’s public records counsel, and representatives from the Inspector General’s office and the General Counsel’s office.
 - DOE is currently holding meetings to work on integrating electronic records into its overall recordkeeping program. The agency is also working on a records management training process for staff.
 - DOR has transferred its RMLO position to the General Counsel’s office and efforts are underway to proactively manage the agency’s electronic records through a collaborative effort with records managers, records custodians, and information technology personnel.
 - AWI has drafted amendments to its policies and procedures for Records Management to address the success measures of the strategic plan. These are currently being reviewed by management and will be implemented as soon as possible.
- Two agencies (DJJ, Office of Public Counsel) answered “no” to three-fourths (9 out of 12) of the success measure questions.
- Two agencies (DBPR and DCF) answered “no” to two-thirds (8 out of 12) of the success measure questions.
- Three agencies (AHCA, Veterans’ Affairs, and Citrus) answered “no” to one-half (6 out of 12) of the success measure questions.

Next Steps

Overall, the survey results indicate that electronic recordkeeping in most state agencies is improving and that agencies are taking additional steps to manage their electronic records according to state laws and rules. To increase the percentage of agencies meeting the success measures, the Division plans to:

- Contact and offer assistance to the seven agencies that answered “no” to one-half or more of the success measures (DJJ, Office of Public Counsel, DBPR, DCF, AHCA, Veterans’ Affairs and Citrus).
- Add content to the Division’s records management training seminars and webinars to address the four success measures where the targeted percentage has not been met (#s 3, 4, 6, and 7).

The following items are included as attachments on the next pages of this report:

- List of agencies that received the survey
- Email to RMLOs to distribute the survey
- Survey questions and response summary (separate PDF file)

List of Agencies that Received Survey

1. Agency for Enterprise Information Technology (AEIT)
2. Agency for Health Care Administration
3. Agency for Persons with Disabilities
4. Agency for Workforce Innovation
5. Department of Agriculture & Consumer Services
6. Department of Business & Professional Regulation
7. Department of Children and Families
8. Department of Citrus
9. Department of Community Affairs
10. Department of Corrections
11. Department of Education
12. Department of Elder Affairs
13. Department of Environmental Protection
14. Department of Financial Services
15. Department of Health
16. Department of Highway Safety & Motor Vehicles
17. Department of Juvenile Justice
18. Department of Law Enforcement
19. Department of Management Services
20. Department of Military Affairs
21. Department of Revenue
22. Department of State
23. Department of the Lottery
24. Department of Transportation
25. Department of Veterans' Affairs
26. Division of Administrative Hearings
27. Executive Office of the Governor
28. Florida Commission on Ethics
29. Florida Commission on Human Relations
30. Florida Fish & Wildlife Conservation Commission
31. Florida Parole Commission
32. Florida Public Service Commission
33. Office of Financial Regulation
34. Office of Public Counsel
35. Office of the Attorney General & Department of Legal Affairs
36. State Board of Administration

Email to RMLOs to Distribute Survey

Sent: Thursday January 13, 2011 11:51 AM
Subject: Department of State Electronic Recordkeeping Strategic Plan - Follow-up Survey for State Agencies
Attachments: Survey in Survey Monkey.pdf

Dear State Agency RMLOs:

As recommended by the Office of Program Policy Analysis and Government Accountability, the Department of State issued an *Electronic Recordkeeping Strategic Plan January 2010 – December 2012*. The [Electronic Recordkeeping Strategic Plan 2010-2012](#) is intended to provide guidance and assistance to agencies in properly managing their electronic records in accordance with public record laws and rules.

In order to track progress toward the goals of the strategic plan, OPPAGA also recommended that we survey state agencies annually on their electronic recordkeeping practices. We have developed a brief online survey based on the success measures outlined in the plan. We would appreciate your cooperation and time in completing this survey.

Please [access and complete the survey](#). For your convenience, we have attached a copy of the survey that you may use to collect your answers prior to completing the survey online. It may be necessary for you to consult with your agency Chief Information Officer or Information Technology staff to answer some of the survey questions.

Please contact us at recmgt@dos.state.fl.us or 850.245.6750 if you have questions about the survey. The deadline for completion is **February 11, 2011**.

Thank you for your assistance.

Sincerely,

*Florida Records Management Program
Division of Library and Information Services
Florida Department of State
850.245.6750*