

Florida Department of State Electronic Records Management Follow-Up Survey of State Agencies 2012 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 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 Department survey state agencies annually on their electronic records management practices.

In January 2011, a follow-up survey of state agencies was conducted to assess progress towards the success measures included in the Electronic Recordkeeping Strategic Plan. The results of that Survey are available from the Department of State. A second follow-up survey was conducted in February 2012, and the results of that survey are presented below.

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

- Level of the agency's RMLO position within the agency.
- The agency's integration of its electronic records management with its overall recordkeeping.
- The 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 35 state agency Records Management Liaison Officers (RMLOs) on February 1, 2012, and agencies were given four weeks, until February 29, 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 on February 20, February 28, and on March 1, and phone calls were placed to the final nonresponding agencies. Eventually, responses were received from 30 of the 35 agencies contacted.

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 30 agencies responding, nine of the targeted percentages were met in this second year of the plan (up from eight in 2011) and three of the targeted percentages were not met (down from four in 2011). Three of the success measures that did not meet their targeted percentages in the first year did meet those targets in the second year. Two of the success measures which met their targeted percentages in the first year did not do so in the second year.

The **targeted percentage has been met** for these success measures:

- **Measure #1** – 79.3 percent (targeted percentage is 50) 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. This is an increase from 71.4 percent in 2011.
- **Measure #2** – 82.8 percent (targeted percentage is 75) of state agencies report that their electronic records management is integrated with the agency's overall recordkeeping program. This is an increase from 80.0 percent in 2011.
- **Measure #3** – 65.5 percent (targeted percentage is 60) 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. This is a significant increase from 45.7 percent in 2011, moving this measure into the Success category.
- **Measure #4** – 79.3 percent (targeted percentage is 70) 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. This is a significant increase from 65.7 percent in 2011, moving this measure into the Success category.
- **Measure #5** – 93.1 percent (targeted percentage is 70) of state agencies report that they have a process of determining how to transfer records to ensure their continued accessibility. This is a significant increase from 71.4 percent in 2011.
- **Measure #7** – 62.1 percent (targeted percentage is 60) of state agencies report that they include a records manager in their information technology project development and implementation. This is a significant increase from 54.3 percent in 2011, moving this measure into the Success category.
- **Measure #8** – 79.3 percent (targeted percentage is 65) of state agencies report that when looking for email solutions, they include a records management functional requirement. This is an increase from 74.3 percent in 2011.
- **Measure #9** – 82.8 percent (targeted percentage is 75) of state agencies report that their employees are made aware of their responsibility to manage their email according to established retention schedules. This is an increase from 77.1 percent in 2011.
- **Measure #10** – 96.6 percent (targeted percentage is 95) of state agencies report that they have adopted a set of procedures for public records requests including provisions for redacting confidential or exempt information. This is a 0.5 percent decrease from 97.1 percent in 2011 but still above the targeted level.

The **targeted percentage has not been met** for these success measures:

- **Measure #6** – 62.1 percent (targeted percentage is 70) 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. This is an increase from 57.1 percent in 2011 but still below the targeted level.
- **Measure #11** – 82.8 percent (targeted percentage is 85) of state agencies report that they have adopted a set of procedures for the disposal of public records including provisions for ensuring confidential or exempt information cannot be read or reconstructed. This is a significant decrease from 97.1 percent in 2011, moving this measure out of the Success category. It is unlikely that fewer agencies actually have such procedures in place; it is more likely that, as agencies become more educated regarding their electronic records disposition responsibilities, they also become more aware of gaps in their procedures and are reporting those gaps in this year’s survey.
- **Measure #12** – 69.0 percent (targeted percentage is 80) of state agencies report that they identify and train electronic records users so they are aware of their specific responsibilities for managing electronic records and information resources. This is a significant decrease from 80.0 percent in 2011, moving this measure out of the Success category. It is unlikely that fewer agencies actually have such training in place; it is more likely that, as agencies become more educated regarding their electronic records management responsibilities, they also become more aware of gaps in their staff training programs and are reporting those gaps in this year’s survey.

Other observations:

- 85.7 percent response rate (30 responses out of 35 surveys sent); this is a decrease from the 97 percent response rate (35 of 36) in 2011.
- 93.3 percent or 28 of the survey responses were submitted by the agency RMLO. This is a significant increase from 80 percent (28 responses) in 2011 and an increase from 91.7 percent (33 responses) in the initial survey.
- Seven agencies (Department of Elder Affairs, Department of Highway Safety and Motor Vehicles, Department of the Lottery, Department of Management Services, Department of Revenue, Florida Fish and Wildlife Conservation Commission, Florida Public Service Commission) answered “yes” to all the success measure questions. This is an increase from three agencies (Department of Environmental Protection, Department of Management Services, Public Employees Relations Commission) in 2011.
- Based on comments submitted, many agencies have incorporated goals of the strategic plan into their policies and procedures and/or are continuing to take significant actions to meet the plan’s success measures, including:
 - DMS’s Executive Records Management Team, formed in January 2009, continues to address electronic records management questions and incorporate requirements and recommendation into their policies and procedures. 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.
 - The Department of Education is currently working on implementing a training process for all electronic record users.

- The Department of Economic Opportunity's policies and procedures for records management have been amended to address all issues, and DEO continues to work toward complete compliance with the Electronic Recordkeeping Strategic Plan.
- The Fish and Wildlife Conservation Commission is working to ensure that all records in automated systems that are slated to be upgraded, replaced or taken out of use have processes in place for review. FWC has an ongoing staff training program that has been implemented agencywide that includes reminders about responsibilities for email retention.
- The Department of Revenue has continuous efforts underway to proactively manage the agency's electronic records through a collaborative effort with records managers, records custodians, and information technology personnel.
- The Department of Corrections and the Florida Parole Commission both address records retention during their project management and change management processes before systems are modified.
- The Department of Highway Safety and Motor Vehicles' records management team, including Information Technology staff, holds quarterly meetings and additional meetings as needed. The Department's Business Requirements Guidelines address record retention and accessibility requirements.
- The Department of Juvenile Justice's RMLO has begun meetings with their Chief Information Officer to discuss incorporating records management requirements into DJJ's information technology project development and implementation processes.
- Agencies are answering "no" to fewer of the success measure questions than previously:
 - One agency, Department of Juvenile Justice, answered "no" to three-fourths (nine out of 12) of the success measure questions. In 2011, both DJJ and the Office of Public Counsel answered "no" to nine success measure questions.
 - Two agencies, Department of Health and Department of Military Affairs, answered "no" to two-thirds (eight out of 12) of the success measure questions. In 2011, two different agencies (Department of Business and Professional Regulation and Department of Children and Families) answered "no" to eight success measure questions.
 - Two agencies, Department of Business and Professional Regulation and Department of Veterans Affairs, answered "no" to half of the success measure questions (DBPR-6; DVA-7). In 2011, three agencies (Veterans' Affairs, Department of Citrus, and Agency for Health Care Administration) answered "no" to six success measure questions.

Steps Taken and Next Steps

Based on part of the results of the 2011 survey, the Department completed significant updates to the electronic records management component of its records management training seminars being offered around the state in 2012. State agencies and other public agencies statewide receive regular notifications regarding these training opportunities.

The 2012 survey results indicate that most state agencies are continuing to improve their electronic recordkeeping and are taking steps to manage their electronic records according to state laws and rules. To increase the percentage of agencies meeting the success measures, the Department plans to:

- Continue to update and provide training for state agencies in meeting electronic records management requirements.
- Contact and offer customized technical assistance to the five agencies that answered “no” to one-half or more of the success measures (Departments of Juvenile Justice, Health, Military Affairs, Business and Professional Regulation, and Veterans Affairs).

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. **Department of Agriculture and Consumer Services**
5. **Department of Business and Professional Regulation**
6. Department of Children and Families
7. **Department of Citrus**
8. **Department of Corrections**
9. **Department of Economic Opportunity**
10. **Department of Education**
11. **Department of Elder Affairs**
12. **Department of Environmental Protection**
13. **Department of Financial Services**
14. **Department of Health**
15. **Department of Highway Safety and Motor Vehicles**
16. **Department of Juvenile Justice**
17. **Department of Law Enforcement**
18. **Department of Management Services**
19. **Department of Military Affairs**
20. **Department of Revenue**
21. **Department of State**
22. **Department of the Lottery**
23. **Department of Transportation**
24. **Department of Veterans' Affairs**
25. Division of Administrative Hearings
26. **Executive Office of the Governor**
27. **Florida Commission on Ethics**
28. **Florida Commission on Human Relations**
29. **Florida Fish and Wildlife Conservation Commission**
30. **Florida Parole Commission**
31. **Florida Public Service Commission**
32. Office of Financial Regulation
33. Office of Public Counsel
34. **Office of the Attorney General / Department of Legal Affairs**
35. **State Board of Administration**

Responses received from **bolded** agencies.

Email to RMLOs to Distribute Survey

Sent: Wednesday, February 01, 2012 1:18 PM
Subject: Electronic Recordkeeping Strategic Plan Follow-up Survey 2012
Attachments: Survey in Survey Monkey.pdf

Dear State Agency RMLOs:

As recommended by the Office of Program Policy Analysis and Government Accountability (OPPAGA), 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 29, 2012**.

Thank you for your assistance.

Sincerely,

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