

# Florida Department of State Electronic Records Management Survey of State Agencies 2009 Brief Overview of Survey Results

## **Introduction**

As recommended by 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 conducted a survey of Florida state agencies in April 2009 to collect information on current electronic records management practices. Survey questions were developed based on a review of:

- electronic records management surveys from other state and federal agencies, as well as from other countries and private entities,
- requirements of the Florida Public Records Law and the Department's Electronic Recordkeeping rule,
- suggestions from the OPPAGA reports, and
- current trends.

There were a total of 30 questions included on the survey, including questions addressing:

- identifying information about the agency and survey respondent,
- time spent on records management duties,
- Records Management (RM) interaction with Information Technology (IT) staff,
- file formats and systems in use by the agency,
- access and disposition procedures,
- e-mail management,
- data migration and preservation, and
- records management training.

## **Survey Methodology**

In an attempt to increase the success of the survey, the Department of State sent a pre-survey letter to the head of each of the 36 agencies that were surveyed, approximately a month before the survey was distributed. Also, the Secretary of State discussed the importance of the survey at the Governor's agency head meeting in the month prior to distribution. Survey recipients were encouraged to consult with their IT staff in completing the survey.

The survey was conducted using the online survey tool SurveyMonkey. An e-mail 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) and they were given 30 days to complete the survey. Follow-up emails were sent to those who had not responded after 15 days. Phone calls were placed to those RMLOs who had not responded after 24 days, and then again the day before the deadline if they still had not responded. Eventually, a 100 percent response rate was achieved within approximately 35 days.

## Survey Results

Specific notable results of the survey are as follows:

- 100 percent response rate (We received 36 out of 36 responses.)
- 91.7 percent or 33 surveys were completed by the RMLO.
- Most RMLOs (44.4 percent or 16) report to Administrative Services.
- 55.6 percent or 20 agencies report having interaction between their RM function and their IT function.
- Most RMLOs (36.1 percent or 13) spend less than 20 hours per month on records management duties. Five or 13.9 percent of RMLOs spend 160 hours per month on RM duties, indicating a full-time RM position for five agencies.
- Thirty-five or 97.2 percent of agencies report that other agency employees are assigned to work with the RMLO on records management issues in their respective areas. In those 35 agencies, most of the other employees assigned to work with the RMLO spend less than 20 hours per month on RM duties. Six agencies (17.1 percent) report that these other employees spend more than 160 hours per month on RM duties, collectively. Ten agencies have records management coordinators assigned in each division/district in the agency.
- Almost all state agencies (91.7 percent or 33) report having electronic files in document or text format. 75 percent have spreadsheets, 77.8 percent have databases, 77.8 percent have e-mail files, 63.9 percent have images/photographs, and 30 percent have maps in electronic format.
- Storage and retrieval systems in use by agencies include database management systems (80 percent or 28 agencies), correspondence tracking (65.7 percent or 23 agencies), and financial/accounting (60 percent or 21 agencies), among others.
- 69.4 percent or 25 agencies report that their electronic records management is integrated with their overall records and information management, and 22.2 percent or eight agencies report that it is not.
- 30.6 percent or 11 agencies report having no regular review of their electronic records management practices. 50 percent or 18 agencies review practices as issues arise. Four agencies conduct a yearly review and one has a bi-annual review.
- 75 percent or 27 agencies report that electronic records are disposed of in accordance with established retention schedules, while 13.9 percent or five agencies reported that they are not. Although 75 percent of agencies report being in compliance, this is an essential element of RM compliance and the number should be 100 percent or very close to it.

- 66.7 percent or 24 agencies have procedures in place to address records management requirements before implementing new or enhancing existing electronic recordkeeping systems. 19.4 percent or seven agencies do not. Notable comment on this question: “It is a requirement of the ISDM process of data system development.”
- 91.7 percent or 33 agencies ensure compliance with public records access provisions of Chapter 119, including providing access to electronic records. 8.3 percent or three agencies do not have procedures in place to comply with these provisions. 97 percent (or 32 agencies) of those 33 agencies ensure that exempt information is not disclosed when providing access to electronic records. 63.6 percent (of the 33) or 21 agencies’ procedures include a formula for charging to fulfill public records requests for electronic records. Two agencies noted that they usually do not charge for copies of electronic records.
- 66.7 percent or 24 agencies do some sort of data migration, copying, or reformatting to ensure that electronic records are retained in a usable format until their authorized disposal. There is cause for concern here, as one-third of agencies are not ensuring that their electronic records remain viable until disposition. Is it because the records are all short-term and do not need to be migrated, or is it because the agencies are not doing what they need to?
- 80.6 percent or 29 agencies take care to dispose of electronic records containing confidential or exempt information in such a manner that the information cannot practicably be read or reconstructed. Notable comment on this question: “[Our agency] ...does not destroy electronic records with confidential information.” This is a concern, as one-fifth of agencies are not ensuring secure destruction of confidential/exempt information.
- While 30.6 percent or 11 agencies dispose of e-mail messages based on the content of the message, 27.8 percent or 10 agencies keep all e-mail permanently and 8.3 percent or three agencies keep all e-mail messages for the same length of time but not permanently. Notable comment on this question: “We consider email routine correspondence except for the agency head. (Attachments are not considered copies of record.) All other staff correspondence is maintained for 4 fiscal years.”
- 72.2 percent or 26 agencies do not use an Electronic Records Management System (ERMS) and 27.8 percent report that they do use an ERMS. In looking at the systems that agencies listed, it should be noted that some of these are not actually electronic records management systems, as they do not appear to contain a records management component.
- 13.9 percent or five agencies report that their employees receive no records management training or orientation. Of the agencies whose employees receive RM training, 25 percent or nine agencies require it for all employees, 36.1 percent or 13 agencies require it for selected employees, and 25 percent or nine agencies make it optional for all employees. Of those agencies offering RM training for their employees, 67.7 percent or 21 agencies cover electronic records in the training. Three agencies

report that RM training is covered in new employee orientation. Less than half (21 agencies) provide *electronic* records management training.

- Agencies were allowed to provide additional comments at the end of the survey. A notable comment provided is as follows: “Our electronic records program is a work in progress and we would love specific seminars or training that the [State Library and Archives] might be able to provide.”

### **Next Steps**

Overall, the survey results indicate that most state agencies are taking steps to manage their electronic records according to state laws and rules. However, there are critical areas of concern that should be improved and that will significantly impact the successful management of electronic records in the future. These include:

- Making records management more of a priority by top management and ensuring that staff assigned to these duties have the time to attend to them.
- Integration of electronic records management with the agency’s overall records and information management.
- Coordination and interaction between an agency’s RM function and their IT function.
- Establishing and adhering to procedures to ensure that *all* electronic records are disposed of in accordance with established retention schedules.
- Taking care to dispose of electronic records containing confidential or exempt information in such a manner that the information cannot practicably be read or reconstructed.
- Establishing and adhering to procedures for data migration, copying, or reformatting to ensure that electronic records are retained in a usable format until their authorized disposal.
- Establishing and adhering to procedures to address records management requirements before implementing new or enhancing existing electronic recordkeeping systems.
- Management of e-mail according to established retention schedules based on the content of the e-mail messages.
- Records management training (that includes electronic records management) for all or key employees.

Based on these findings and on recommendations from the OPPAGA reports, the Department of State will work with the State CIO Council, the Agency for Enterprise Information Technology, and state agencies to develop a statewide strategic plan to address these key areas of concern in electronic records management.

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

- List of agencies that received the survey (page 5)
- Pre-survey letter to agency heads (page 6)
- E-mail to RMLOs to distribute the survey (page 7)
- Survey questions and response summary (separate document “SurveySummary\_06092009.pdf”)
- Open-ended Responses (pages 8-17)

## **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

## Pre-Survey Letter to Agency Heads



### FLORIDA DEPARTMENT *of* STATE

**CHARLIE CRIST**  
Governor

**KURT S. BROWNING**  
Secretary of State

January 9, 2009

[*AGENCY NAME*  
*ADDRESS*]

Dear [*State Agency Head*]:

In its January 2007 and November 2008 reports on electronic records management, the Office of Program Policy Analysis and Government Accountability (OPPAGA) recommended that the Department of State survey state agencies to collect information on current electronic records management practices. OPPAGA also recommended that the survey results should be used to develop a statewide strategic plan to address “areas of particular concern, such as outdated technology and the need to ensure long-term access to electronic records created using such technology.”

OPPAGA further recommended that the Department of State “work with the Department of Management Services, the State Chief Information Officers Council, the Agency for Enterprise Information Technology, and state agencies” to develop the statewide strategic plan.

The Department of State is in the process of developing a survey on electronic record keeping to be completed by state agencies this spring and plans to complete the electronic record keeping strategic plan by the end of the 2009 calendar year. Your assistance and support will be essential in ensuring the successful completion of this project, and we look forward to working with you in developing an electronic record keeping strategic plan that addresses the needs and concerns of state agencies in managing their electronic records.

Sincerely,

Kurt S. Browning  
Secretary of State

KSB/jr

**R. A. Gray Building • 500 South Bronough Street • Tallahassee, Florida 32399-0250**  
**Telephone: (850) 245-6500 • Facsimile: (850) 245-6125**  
**[www.dos.state.fl.us](http://www.dos.state.fl.us)**

## E-mail to RMLOs to Distribute Survey

**From:** Wagers, LaDonna  
**Sent:** Monday, March 30, 2009 4:38 PM  
**Cc:** Berberich, Jim; Golding, Elisabeth  
**Subject:** Department of State Electronic Records Management Survey for State Agencies  
**Attachments:** E-records Survey in Survey Monkey - Final.pdf

Dear State Agency Records Management Liaison Officers:

As we informed you recently, the Department of State is conducting an online survey of state agencies to collect information on current electronic records management practices, as recommended by the Office of Program Policy Analysis and Government Accountability (OPPAGA). Secretary of State Kurt Browning sent a letter to all agency heads in February to notify them about this survey.

Please click on this Web link [http://www.surveymonkey.com/s.aspx?sm=EKiMfsOz1cL8\\_2ffRCogP\\_2byA\\_3d\\_3d](http://www.surveymonkey.com/s.aspx?sm=EKiMfsOz1cL8_2ffRCogP_2byA_3d_3d) to complete the survey. The survey is brief and will not require too much of your time. 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 CIO or IT staff to answer some of the survey questions.

Please contact us at [recmgt@dos.state.fl.us](mailto:recmgt@dos.state.fl.us) or (850) 245-6750 if you have questions about the survey. The deadline for completion is April 30, 2009.

We appreciate your cooperation and time in completing the survey. Survey results will be used to develop a statewide electronic records management strategic plan.

Sincerely,

*Florida Records Management Program  
State Library & Archives of Florida  
Florida Department of State  
(850) 245-6750*

## **Electronic Records Management Survey Open-Ended Responses**

**Does the RMLO or Records Management function interact with the agency's Chief Information Officer (CIO) or Information Technology (IT) function (such as by having regular communication and discussion of the relationship between records management and technology issues and practices)?**

<b>#</b>	<b>Comment</b>
1.	We are a technology policy agency, we have no CIO. Our Executive Director is the State Chief Information Officer.
2.	Only when an issue arises
3.	Administrative Services Director and RMLOs communicate with IT as needed.
4.	OUR NETWORK IS CONTROLLED BY A FEDERAL AGENCY
5.	DOR has policies in place for records management and rely on the operating programs to information services on records management related inquiries.
6.	This position, until 2 years ago, reported directly to the CIO. There is still an excellent working relationship between IT and RMLO.
7.	No, the RMLO does not. The Office of the Inspector General does in our office.
8.	We (Records Management) interact DOT's Information Technology when they have a question or concern about the retention and disposal of records. Records Management also worked with IT to develop DOT Procedure #325-080-003, Electronic Document Management System Requirements.
9.	Our agency has to complete an IT ticket in order to set-up a user in Total Recall. IT needs to know who has access to TR. Otherwise, there is no communication.



**Are other agency employees assigned to work with the RMLO on records management issues in their respective areas?**

#	Comment
1.	A local RMLO is assigned to each division and county health department.
2.	Each Division has at least one (and many, several) RMLs assigned to Records Management.
3.	We are an agency of 12 people total, and we cannot devote a lot of time to this task. Thus, it is shared, but I am accountable.
4.	I have coordinators for each division.
5.	Every office has a Records Coordinator to assist with records management in their respective areas
6.	Each division has assigned a RMLO.
7.	AS NEEDED
8.	Pursuant to DMS Admin. Policy 98-106 each Division should ensure that one contact person and one back-up person is assigned the Division's record management responsibilities. The contact person shall serve as the Division records manager. The Division records manager work with the Agency RMLO.
9.	Each work section is responsible for identifying, boxing, and archiving documents. Areas also submit dispositions to the RMLO. There is a Records Management Center with full time staff devoted to archive management, retentions, requests for records, record storage, dispositions, box review for the GTA program, and assistance around the Department with records management questions/issues.
10.	The Commission has a Deputy RMLO. Additionally, all Division/Office Directors, and the Commissioners are custodians for their respective offices and have Records Management Coordinators.
11.	We have designated "Records Specialists" in each of our Divisions, Offices, & Institutes, as well as one in each of our 5 regional offices.
12.	Each DOT District (7) and Florida Turnpike Enterprise has a person designated as a District Records Management Coordinator.
13.	We have Division Coordinators that order boxes and barcode labels, and receive DRD's, everything else is handled by the RMLO.

**Please check each file type listed below in which your agency stores record (master) copies of public records.**

#	Comment
1.	Blueprints

**Please check all of the storage and retrieval systems that your agency uses to maintain and access electronic record (master) copies of public records.**

#	Comment
1.	None at this time.
2.	EDMS coming soon to the EOG
3.	WE DO NOT MAINTAIN ELECTRONIC RECORDS AT OUR LEVEL.
4.	THE ELECTRONIC MANAGEMENT SYSTEM WE USE IS CALLED ON-BASE
5.	*The ERMS & Records Inventory are features of an agency-wide application called Filebound that will go live mid-May
6.	Sire
7.	Converted to paper record.

**Does your agency integrate electronic records management with its overall records and information management program?**

#	Comment
1.	Currently, we do not have a system, but we are working to develop one.
2.	In the process of writing a policy and procedures to include electronic as well as paper records in the program
3.	Electronic records and physical records are equally considered in overall records management. This includes e-mail, productivity tool documents (e.g. Word, Excel), webpages, etc. DMS Admin Policy 98-106
4.	DOR has policies in place for records management and rely on the operating programs to inform information services on records management related inquiries.
5.	At this time we are storing all images and are working toward a program to dispose of records using FileNet/Records Manager using the records schedules (General/Individual) that pertain to each specific category. We search electronic records for public records requests.

**Does your agency conduct a periodic review of its electronic records management practices to determine their effectiveness?**

#	Comment
1.	THE FEDERAL AGENCY PERFORMS REVIEWS
2.	We are currently reviewing and revising information security and electronic information management policies and practices
3.	Effectiveness is determined through use.
4.	Only informal reviews on specific programs when requested by CIO, RMLLO or agency program head.
5.	At this time we are storing all images and are working toward a program to dispose of records using FileNet/Records Manager using the records schedules (General/Individual) that pertain to each specific category.
6.	Central Office personnel conduct Quality Assurance Reviews.

**Does your agency have procedures in place to ensure that electronic records are disposed of in accordance with established records retention schedules as required by Rule 1B-24, F.A.C.?**

- | #  | Comment                                                                                                                                                                                                                                                                                                                                                      |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Agency has Administrative Policy & Procedures specifically for Records Management that includes all storage media.                                                                                                                                                                                                                                           |
| 2. | Not at this time. We do not have retention schedules yet, and are therefore storing what little we have.                                                                                                                                                                                                                                                     |
| 3. | Per DMS Admin. Policy 98-106 electronic records must be maintained according to established retention schedules. Until we modify our approach which we are in the process of doing, we do not delete e-mail or most other electronic documents. We do follow appropriate practices when disposing of electronic equipment to ensure it is properly cleansed. |
| 4. | Have only just now disposed of the first electronic records. In the process of putting together formal written procedures.                                                                                                                                                                                                                                   |
| 5. | The Commission's dockets have permanent retention and are kept electronically in lieu of microfilm or destruction. They are part of the Commission's Web site research database.                                                                                                                                                                             |
| 6. | At this time we are storing all images and are working toward a program to dispose of records using FileNet/Records Manager using the records schedules (General/Individual) that pertain to each specific category.                                                                                                                                         |
| 7. | This is covered in DOT procedure #050-020-025, Records Management Procedure.                                                                                                                                                                                                                                                                                 |
| 8. | We have an Administrative Policy & Procedure.                                                                                                                                                                                                                                                                                                                |
| 9. | Legislative office not bound by rule.                                                                                                                                                                                                                                                                                                                        |

**Does your agency have procedures in place that ensure records management requirements (such as records retention and disposition requirements) are addressed before contracting for or implementing new electronic recordkeeping systems or enhancements to existing systems?**

- | #   | Comment                                                                                                                                                                                                              |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.  | In progress.                                                                                                                                                                                                         |
| 2.  | The one system that we use regularly (JJIS) keeps all records permanently. Working with MIS to update and have this follow current retention rules                                                                   |
| 3.  | WE ONLY DEAL WITH PAPER COPIES                                                                                                                                                                                       |
| 4.  | IT IS A REQUIREMENT OF THE ISMD PROCESS OF DATA SYSTEM DEVELOPMENT                                                                                                                                                   |
| 5.  | If we are notified of changes or new plans to scan. With the anticipated move to Southwood this has become wide spread and Records Management has been brought in for consultations.                                 |
| 6.  | RMLO is invited to all initial meetings when new electronic record-keeping systems are in the design phases and later as needed.                                                                                     |
| 7.  | At this time we are storing all images and are working toward a program to dispose of records using FileNet/Records Manager using the records schedules (General/Individual) that pertain to each specific category. |
| 8.  | DOT Procedure #325-080-003, Electronic Document Management System Requirements addresses the requirements for implementing and/or enhancing an EDMS.                                                                 |
| 9.  | Our Legal and IT teams are always involved in any new systems or enhancements.                                                                                                                                       |
| 10. | UNK                                                                                                                                                                                                                  |

**Does your agency have procedures in place to ensure compliance with the public records access provisions of Florida's Public Records Law (Chapter 119, F.S.), including providing copies of any data in electronic records which is not exempt from disclosure by statute?**

- | <b>#</b> | <b>Comment</b>                                                                                                                                                                          |
|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.       | Administrative Policy and Procedures regarding this subject.                                                                                                                            |
| 2.       | In progress.                                                                                                                                                                            |
| 3.       | DMS Admin. Policy 94-102. This policy establishes agency guidelines and procedures for public records requests                                                                          |
| 4.       | The author of the record has responsibility for the classification of the record as a public record and is responsible for its management in compliance with applicable laws and rules. |

**Do the procedures include provisions to ensure that information in electronic records which is exempt from public disclosure by statute is not improperly disclosed (such as by redacting the exempt information) when providing public access to the records?**

- | <b>#</b> | <b>Comment</b>                                                                                                                              |
|----------|---------------------------------------------------------------------------------------------------------------------------------------------|
| 1.       | DMS Admin. Policy 94-102 and division policies                                                                                              |
| 2.       | *At the present all redacting must be done manually. Our new Filebound system that will be implemented in May has a built-in redacting tool |

**Do the procedures include a formula for charging to fulfill public records requests for electronic records?**

- | <b>#</b> | <b>Comment</b>                                                                                                                                                                                                                                                    |
|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.       | We have an extensive use formula which would include electronic records.                                                                                                                                                                                          |
| 2.       | Each request would be evaluated to determine reasonable charges based on the scope of the request.                                                                                                                                                                |
| 3.       | Usually no charge for electronic records.                                                                                                                                                                                                                         |
| 4.       | there is a fee schedule                                                                                                                                                                                                                                           |
| 5.       | \$00.15/PAGE                                                                                                                                                                                                                                                      |
| 6.       | SOME DIVISIONS WITHIN OUR DEPT. HAVE A CHARGEING FORMULA                                                                                                                                                                                                          |
| 7.       | *This information is available in our agency's Internal Policies & Procedures Manual (Section 1.7.4)                                                                                                                                                              |
| 8.       | FDOT does not have a separate formula for charges for electronic records. As provided by statute, FDOT may impose a special service charge for requests that require extensive use of information technology resources and/or clerical or supervisory assistance. |
| 9.       | Converted to paper record.                                                                                                                                                                                                                                        |
| 10.      | As provided by statute.                                                                                                                                                                                                                                           |

## What is your agency's formula?

#	Response Text
1.	A fee of \$.15 cents per page plus staff labor costs necessary to complete any required redaction of confidential information. An additional \$.05 cents per page will be charged for double-sides copies. A request that requires extensive use of information technology resources or clerical or supervisory assistance may be assessed an additional charge (special service fee) but you will be contacted first. <a href="http://www.doh.state.fl.us/publicRecord.html">http://www.doh.state.fl.us/publicRecord.html</a>
2.	Defined in AP&P previously referenced.
3.	1. Billing for copies of records must be in accordance with Rule 33-102.101, F.A.C. The requestor will be charged fifteen cents (\$.15) per page for single-sided copies and/or twenty cents (\$.20) per page for double-sided copies. Additionally, Florida Department of Corrections' personnel will assess a special service charge for providing information when the nature or volume of the records requested requires extensive clerical or supervisory assistance. "Extensive" means that it will take more than fifteen (15) minutes to locate, review for confidential and/or exempt information, copy and re-file the requested material. The special service charge will be computed to the nearest quarter of an hour exceeding fifteen (15) minutes based on the current rate of pay for the person who performed the service.
4.	Public Records Special Service Charge = (Hourly Base Rate of Pay + Hourly Value of Benefits) X Number of Hours Worked Hourly Base Rate of Pay = Annual Base Rate of Pay (or Monthly Base Rate X 12 or Biweekly Base Rate X 26) / 2080 Hours (# work hours per year) Hourly Value of Benefits for Career Service and Select Exempt = Hourly Base Rate of Pay X Benefit Factor
5.	Hourly rate of pay for employee working extensively on public records request x number of hours required
6.	time allocation spent on project
7.	N/A
8.	No charge for e-mails, \$1 per CD, .15/page or .30/page for microfilm copies. If the P.R. request requires more than two hours to fulfill (time to locate the records, review them to make sure all confidential material has been redacted, and time to prepare the copies), we include a charge equal to the clerks base hourly salary rate.
9.	No charge for electronic records.
10.	length of time to locate records minus excessive amount of time limit times the hourly rate of the lowest paid employee capable of locating information plus \$1 for CD if unable to transmit records via e-mail
11.	fee schedule
12.	Calculated based on time it takes to fill request, cost of actual salary of person filling request and any technical cost.
13.	\$00.15/PAGE
14.	Some requests can be fulfilled free of charge. However, if the request requires extensive use of agency resources, charges may apply as listed below. An extensive use of agency resources is where agency personnel must spend more than one hour to retrieve, copy or redact the requested material to comply with the request. The requestor will be provided with a detailed invoice before any such charges apply and payment in advance of the production will be required. Charges will be based on the following: • If researching or redacting information (information which is exempt and must be protected under the public records law) takes an hour or less there is no charge. • More than one hour, the cost is \$16.03 per hour for clerical work. If technical skills such as information technology resources or redaction for statutory protections are necessary, the cost is

## What is your agency's formula?

#	Response Text
	\$29.86 per hour. (The labor charge is calculated by taking the yearly average salary for either clerical or technical staff and dividing this amount by 2080 hours per year.) • Hard Copies of Documents o (first 20 pages no charge) \$.15 per page for single-sided page o (first 10 pages no charge) \$.20 per page for double-sided pages o \$1.00 per page for certified copies • Electronic Copies (CD-ROM or e-mail) - no charge • Mailing and Shipping Costs - estimated costs may be charged to reflect actual cost incurred.
15.	Electronic records are provided free of charge; a reasonable service charge for gathering the records may apply.
16.	media costs \$.15 / printed page
17.	N/A
18.	We use the same as paper records (amount and time of research)
19.	*First 15 minutes, no charge. More than 15 minutes, the lowest hourly rate of employee qualified to access the specific records requested.
20.	See above comment.
21.	We have an Administrative Policy and Procedure. We charge 50 cents per page (of course we do redact) and \$25.00 per hour to create a CD.
22.	Charged as paper record.
23.	Statutory allowance as well as a sliding scale for shipping over a certain number of pages.
24.	\$.015/copy for one sided copies, \$23.00/Florida Criminal History, \$1.00/certified copy or actual cost of duplicating a copy not to include labor costs, or as required by law.
25.	.10/page single sided .15/page double sided

## Does your agency take steps (such as regular recopying, reformatting, data migration, etc.) to ensure that record (master) copies of electronic public records are retained in a usable format until their authorized disposal?

#	Comment
1.	Not at this time. We are a relatively young agency.
2.	ALL RECORDS EXCEPT FOR PERSONNEL MICROFISH RECORDS ARE IN A USABLE FORMAT
3.	Although seldom needed, we ensure older records can be read when systems change.
4.	Images are on the server. I do not know how they are maintained.
5.	Each DOI in the agency is instructed to take these steps. Most do, but we (RMLO or IT) do not "police" the DOIs.
6.	Drives are tested every 10 years and replaced as needed.
7.	IT systems are monitored to ensure backup of data is available. File and data base records are replicated.

**Does your agency have procedures in place to ensure that electronic records that are scheduled for destruction and that contain information that is confidential or exempt from disclosure are disposed of in such a manner that the information cannot practicably be read or reconstructed?**

#	Comment
1.	In progress.
2.	We have not had this issue
3.	FPC DOES NOT DESTROY ELECTRONIC RECORDS WITH CONFIDENTIAL INFORMATION
4.	Records Management Center properly disposes of electronic records. The Center does not know who within the Dept may have documents on discs etc and how they are disposing.
5.	Administrative Procedures and Standard Operating Procedures are in place.
6.	At this time we are storing all images and are working toward a program to dispose of records using FileNet/Records Manager using the records schedules (General/Individual) that pertain to each specific category.
7.	All hard drives are degaussed when they are no longer useful. All information is completely irretrievable after the drives are degaussed.
8.	Each Division is responsible for their own data disposal. Use DOD level hard drive wipe before equipment is surplus.

**How does your agency manage the disposition of public record emails?**

#	Other (please specify)
1.	Our e-mail is managed by the Southwood Shared Resource Center.
2.	E-mails are managed on an individual basis.
3.	Yes, Lottery have copies of all Disposition
4.	The Department is in the process of implementing an electronic software that will manage emails by content and established retention schedules. Currently emails are archived to a Department network storage drive and each member is responsible for management.
5.	FEDERAL AGENCY HAS CONTROL OF EMAIL
6.	Currently all e-mail messages are kept permanently but we plan to modify this approach in the near future.
7.	Retention schedule is in place, as provided in the General Schedule
8.	All email messages are kept that are not deleted by the user. The user is responsible for compliance with public record procedures. Email is backed up for system restoration purposes, there is no archival record storage of email
9.	We consider e-mail routine correspondence except for the agency head. (Attachments are not considered copies of record.) All other staff correspondence is maintained for 4 fiscal years.
10.	With the Department's current email system all emails are backed up and retained for five years. If the content of an email require a longer retention it is up to the sender or recipient to print and retain it for the required retention.
11.	e-mails are disposed of by individual recipients at their discretion
12.	Unknown.

**Does your agency use an Electronic Records Management System (ERMS) to manage its electronic records? An ERMS is a software program and supporting hardware that automate and integrate the records management process for electronic records, including records retention and disposition.**

#	Comment
1.	Not at this time.
2.	(I misunderstood the question on page 4)
3.	IT will back up electronic records as requested. Program areas are responsible for their own records.
4.	Case Management System was developed by the Commission.
5.	At this time we are storing all images and are working toward a program to dispose of records using FileNet/Records Manager using the records schedules (General/Individual) that pertain to each specific category.
6.	We do not have an agency-wide ERMS. Our Sharepoint DMS has an ERMS feature where we build in our retention schedules. Our new agency-wide Filebound application (5/09) has an ERMS.
7.	We use EDMS.
8.	Unknown.

**What Electronic Records Management System(s) does your agency use?**

#	Response Text
1.	We use the Health Management System (HMS) and FL SHOTS for immunization records.
2.	Excel
3.	OCULUS
4.	INMATE RECORDS IMAGING SYSTEM
5.	Case Management System, Master Commission Director, Fox Pro, Microsoft, SQL
6.	ON-BASE
7.	FileNet/Records Manager
8.	Sharepoint Filebound
9.	Enterprise Vault
10.	Unknown. OLITS manages system.

**Do agency employees receive records management orientation or training?**

#	Comment
1.	All designated RMLO's, records custodians and administrative support staff are highly encouraged to attend at least one records management training a year.
2.	Mandatory for RMLO and all Division RMLs.
3.	Not at this time. Will develop in the near future.
4.	Records management is reviewed during the New Employee Orientation Program upon employment start date. Records Coordinators are offered an annual training session via video teleconferencing from the RMLO who attends the DOS Records Management Seminar annually



**Do agency employees receive records management orientation or training?**

- | #   | Comment                                                                                                                                                                                       |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 5.  | Training is mandatory for selected members and periodically the Department offers training to all members.                                                                                    |
| 6.  | Training offered through the Dept. of State. We are currently in the process of implementing in-house training for all DMS employees that will give a general overview of records management. |
| 7.  | Records Center employees have mandatory training                                                                                                                                              |
| 8.  | Part of employee orientation, periodically reviewed at "all staff" meetings                                                                                                                   |
| 9.  | Mandatory for some employees, but optional for all employees and generally covered in new employee orientation.                                                                               |
| 10. | If an employee's position description requires that they manage records, then the employees attend records management training.                                                               |

**Does the training include management of electronic records?**

- | #  | Comment                                                                                                                                                                          |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | DOS Records Seminar is mandatory for all RMLO and RMLs.                                                                                                                          |
| 2. | This is being incorporated into future trainings                                                                                                                                 |
| 3. | Including scanning and page-by-page verification of electronic records against the original document. PDF files are maintained in accordance with Rule 1B-26.0021(3)(a)1, F.A.C. |
| 4. | NOT YET                                                                                                                                                                          |
| 5. | It is not a common practice, we provide training on an as needed basis.                                                                                                          |

**Do you have any additional comments on electronic records management in your agency?**

- | #  | Response Text                                                                                                                              |
|----|--------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | WE ARE A STATE AGENCY, BUT OUR COMPUTER NETWORK IS CONTROLLED BY A FEDERAL AGENCY                                                          |
| 2. | NO                                                                                                                                         |
| 3. | Our Electric Records program is a work in progress and we would love specific seminars or training that the BARM might be able to provide. |
| 4. | NO                                                                                                                                         |
| 5. | Comment on email question - Presently all e-mail since September 2006 is retained permanently.                                             |