

Florida Department of State Electronic Records Management Follow-Up Survey of State Agencies, 2013 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 2010-12](#) to assist state agencies in the proper management of their electronic records. The plan was based in part on an April 2009 survey of state agencies' electronic records management practices, which was another of OPPAGA's recommendations to the Department of State.

In January 2011 and February 2012, follow-up surveys of state agencies were conducted to assess progress towards the success measures included in the Electronic Recordkeeping Strategic Plan. The results of the 2009, 2011 and 2012 surveys are available from the Department of State. A final follow-up survey, covering the final year of the Strategic Plan, was conducted in February 2013. 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.
- 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, were sent to 34 state agency Records Management Liaison Officers (RMLOs) on January 25, 2013. Agencies were given five weeks, until March 1, to complete the survey. The email indicated that it might be necessary to consult with agency information technology staff

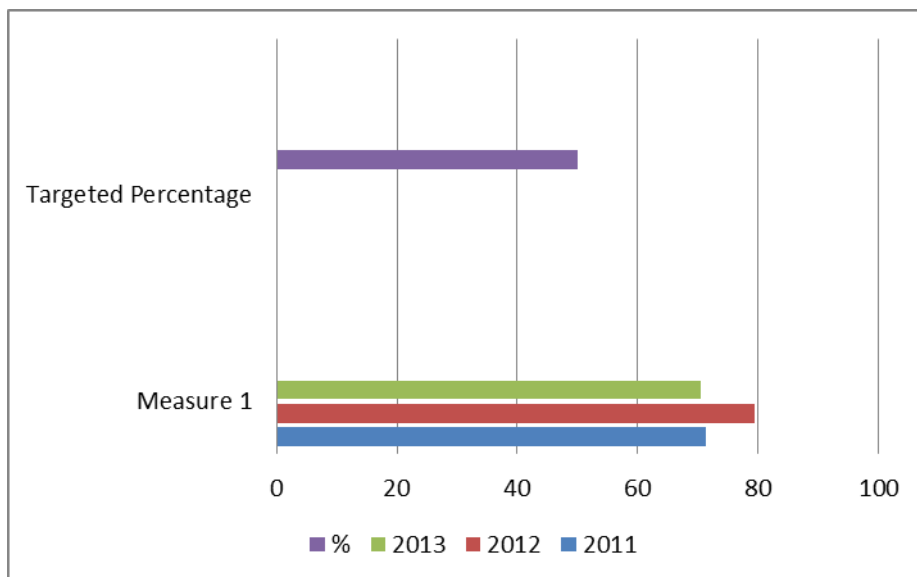
in order to complete the survey. Reminder emails were sent to those RMLOs on February 7, February 22 and March 1. Eventually, responses were received from 27 of the 34 agencies contacted.

Survey Results

Each of the 12 success measures of the Strategic Plan specify the percentage of state agencies that must have achieved the measure by December 31, 2012, in order for that objective to be successfully achieved. Based on the 2013 survey results, with 27 agencies responding, eight of the targeted percentages were met in the final year of the plan (down from the nine reported in the 2012 survey), and four of the targeted percentages were not met (up from the three reported in the 2012 survey). Two of the success measures that did not meet their targeted percentages in the 2012 survey did meet those targets in the 2013 survey. Three of the success measures that met their targeted percentages in the 2012 survey did not do so in the 2013 survey.

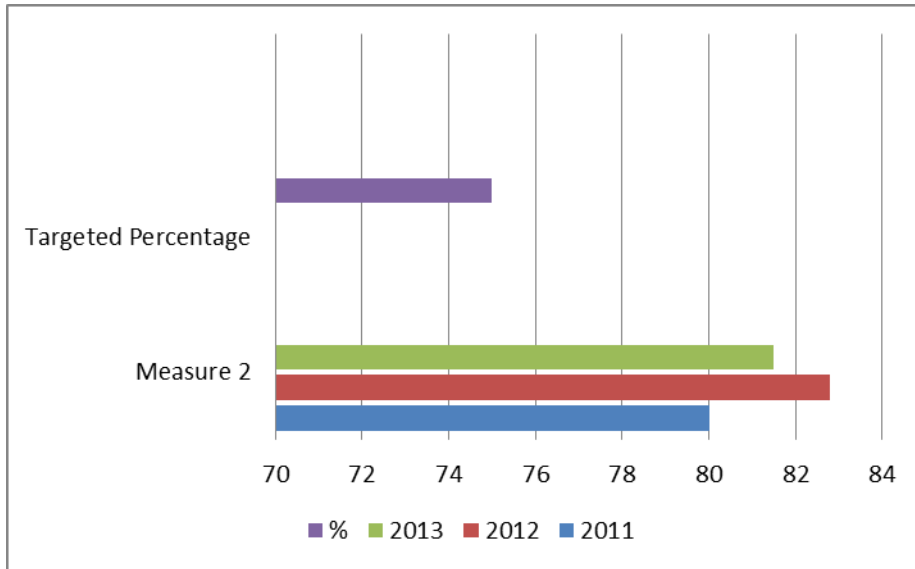
The **targeted percentage has been met** for these success measures:

Measure #1 – 70.4 percent (targeted percentage is 50) of responding 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 a decrease from the 79.3 percent reported in the 2012 survey, but only a slight decrease from the 71.4 percent reported in the 2011 survey. It is possible that this decrease reflects a temporary adjustment to state agency reorganizations, rather than an overall shift in focus. The response still significantly exceeds the targeted percentage of 50 percent.

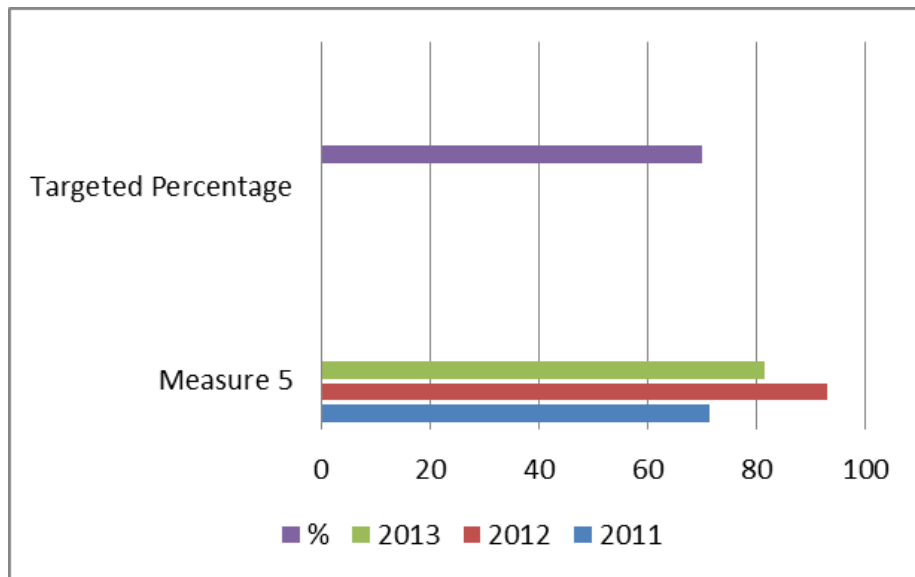


Measure #2 – 81.5 percent (targeted percentage is 75) of state agencies report that their electronic records management is integrated with the agency’s overall recordkeeping program. This is a slight, and probably statistically insignificant,

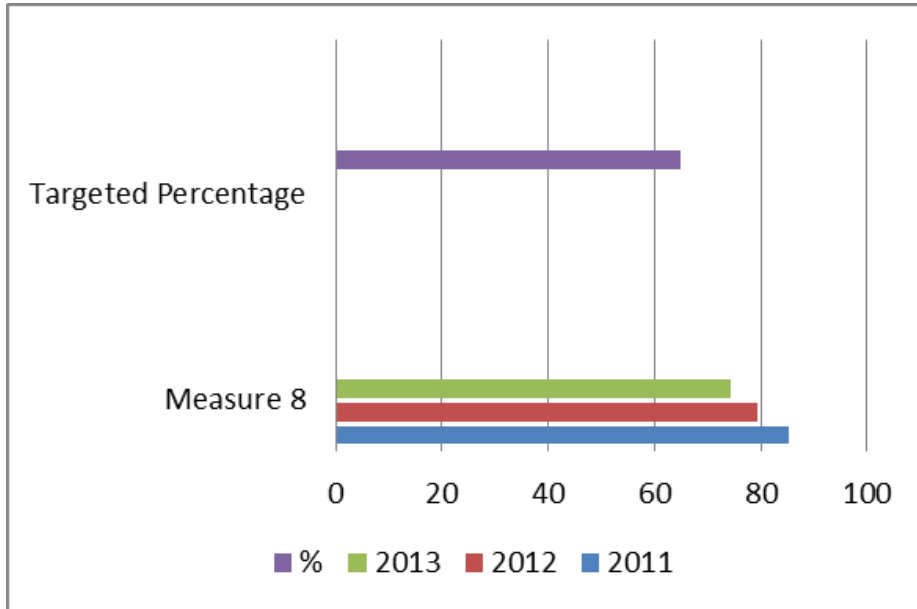
decrease from the 82.8 percent reported in the 2012 survey, but still an increase from the 80.0 percent reported in the 2011 survey.



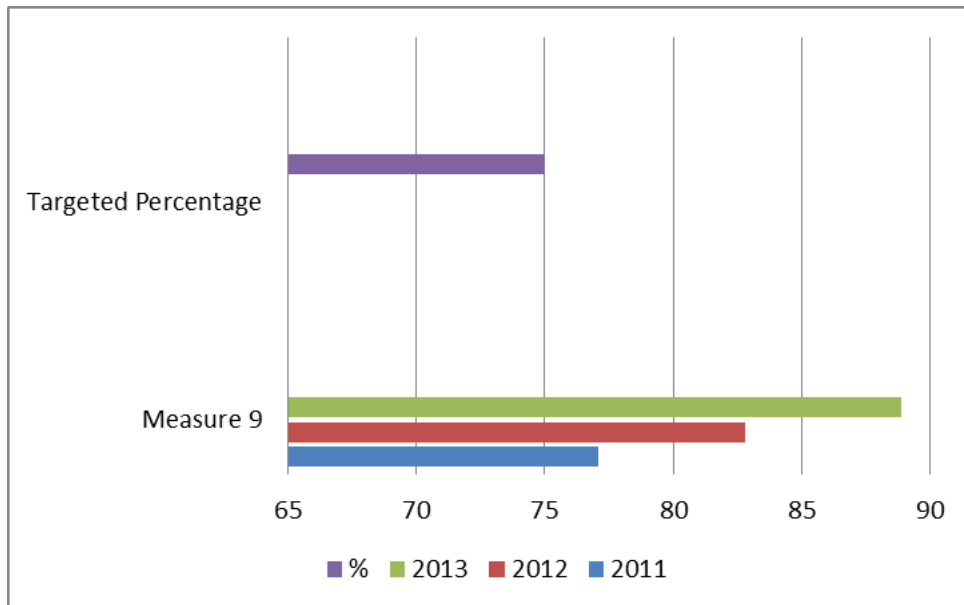
Measure #5 – 81.5 percent (targeted percentage is 70) of state agencies report that they have a process for determining how to transfer records to ensure their continued accessibility. This is a decrease from the 93.1 percent reported in the 2012 survey, but still a significant increase from the 71.4 percent reported in the 2011 survey, and well in excess of the targeted 70 percent.



Measure #8 – 85.2 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 the 79.3 percent reported in the 2012 survey, and a further increase from the 74.3 percent reported in the 2011 survey, and is well in excess of the targeted 65 percent.

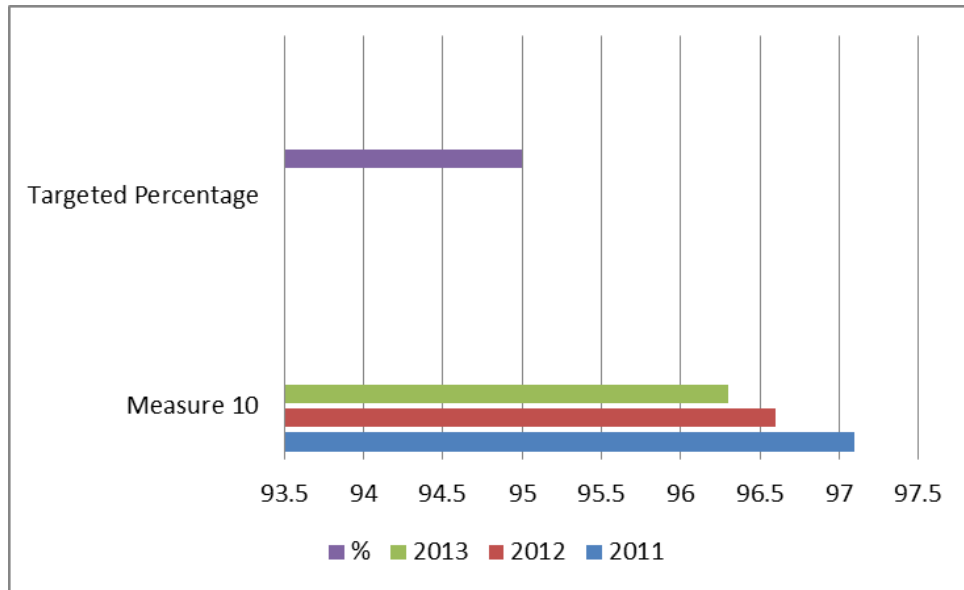


Measure #9 – 88.9 percent (targeted percentage is 75) of state agencies report that their employees are made aware of their responsibility to manage their email according to established retention schedules. This is an increase from the 82.8 percent reported in the 2012 survey, and a further increase from the 77.1 percent reported in the 2011 survey.

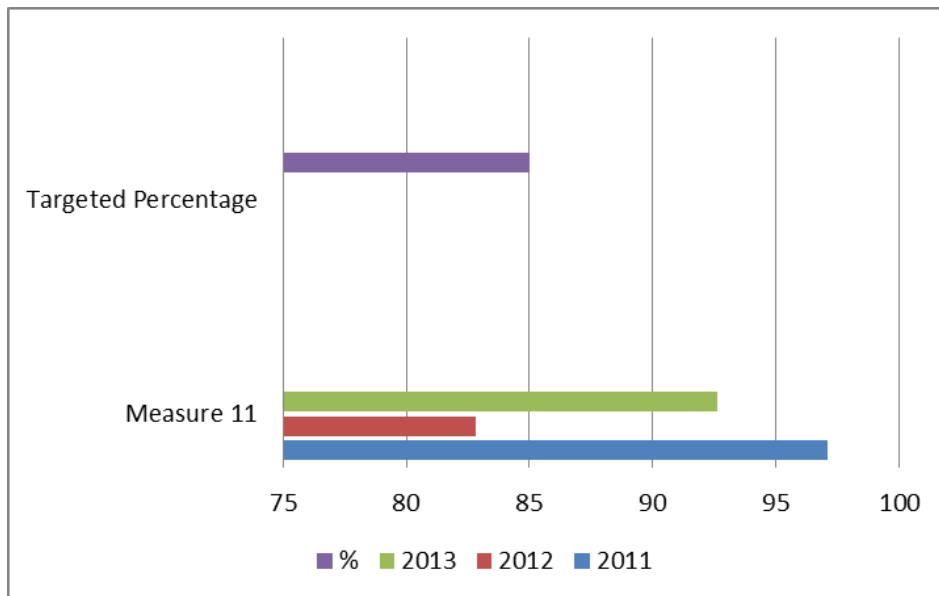


Measure #10 – 96.3 percent (targeted percentage is 95) of state agencies report that they have adopted a set of procedures for public records requests, including provisions for redacting confidential or exempt information. This is most likely a

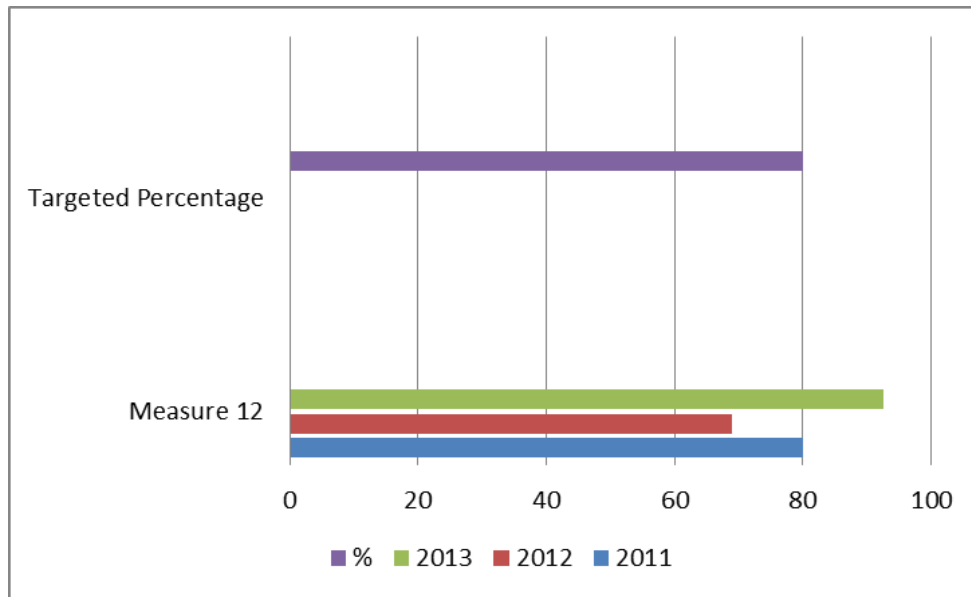
statistically insignificant 0.3 percent decrease from the 96.6 percent reported in the 2012 survey, and a further slight decrease from the 97.1 percent reported in the 2011 survey, but still above the targeted level of 95 percent.



Measure #11 – 92.6 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 increase from the 82.8 percent reported in the 2012 survey, although still below the 97.1 percent reported in 2011, moving this measure back into the Success category. It is likely that some agencies that identified this area as a gap following the 2012 survey, took measures to address that gap, accounting for the increased success level.

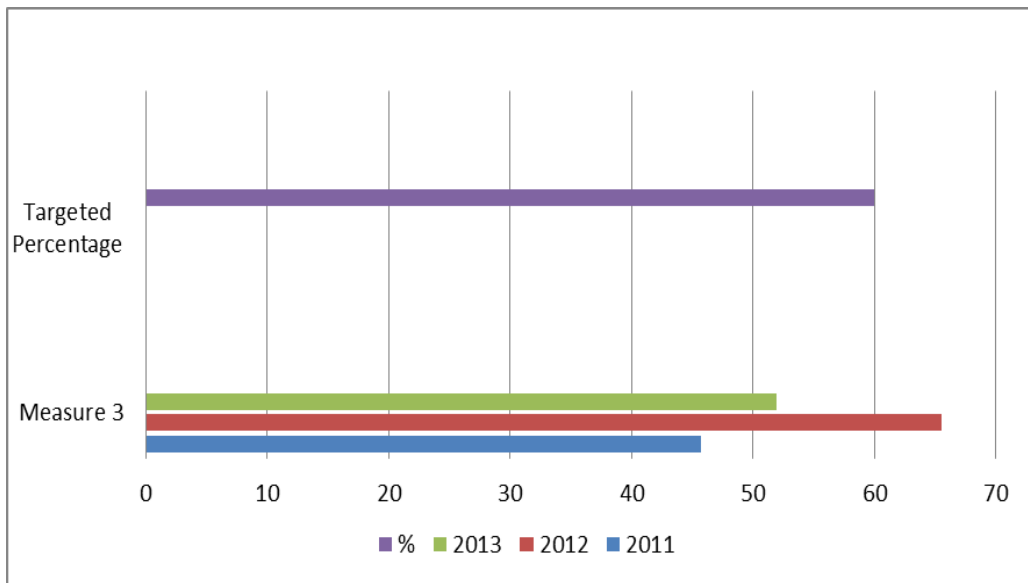


Measure #12 – 96.3 percent (targeted percentage is 80) of state agencies report that they identify and train electronic records users so they are aware of their specific responsibilities for managing electronic records and information resources. This is a very significant increase from the 69.0 percent reported in the 2012 survey, and from the 80.0 percent reported in 2011, moving this measure back into the Success category. It is likely that some agencies that identified this area as a gap following the 2012 survey, took measures to address that gap, accounting for the increased success level.

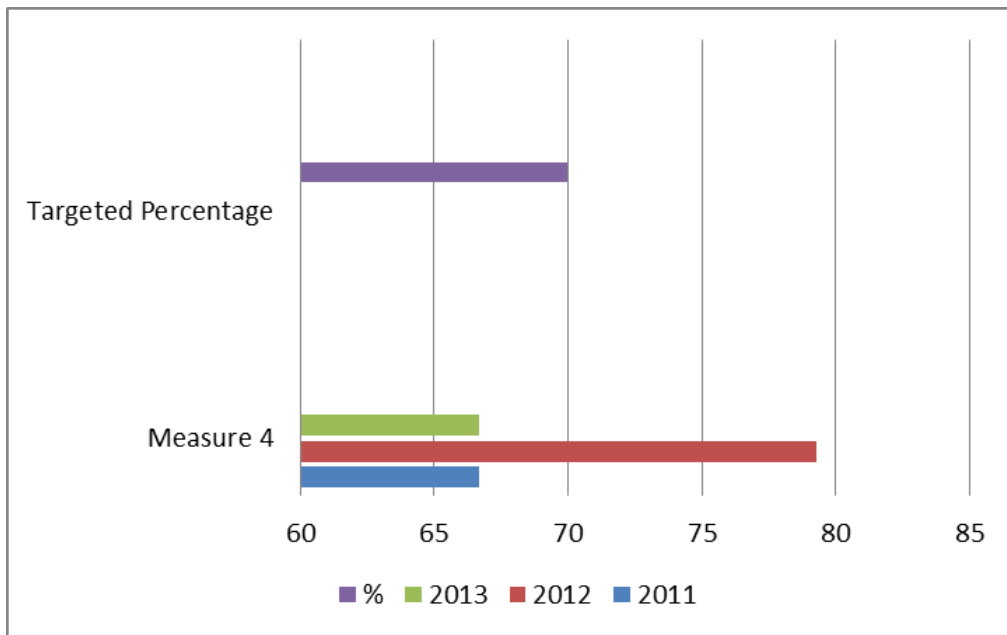


The **targeted percentage has not been met** for these success measures:

Measure #3 – 51.9 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 decrease from the 65.5 percent reported in the 2012 survey, but is still an increase from the 45.7 percent reported in the 2011 survey. The decrease moves this measure back out of the Success category that was attained as a result of the 2012 survey. However, several agencies commented that, although they do not have “regular” meetings, they do have meetings on an as needed basis, such as to discuss processes or new technology. This indicates that the decrease might be as much a result of differing interpretations of the question, as of an actual decrease in the nature, or level, of communications.

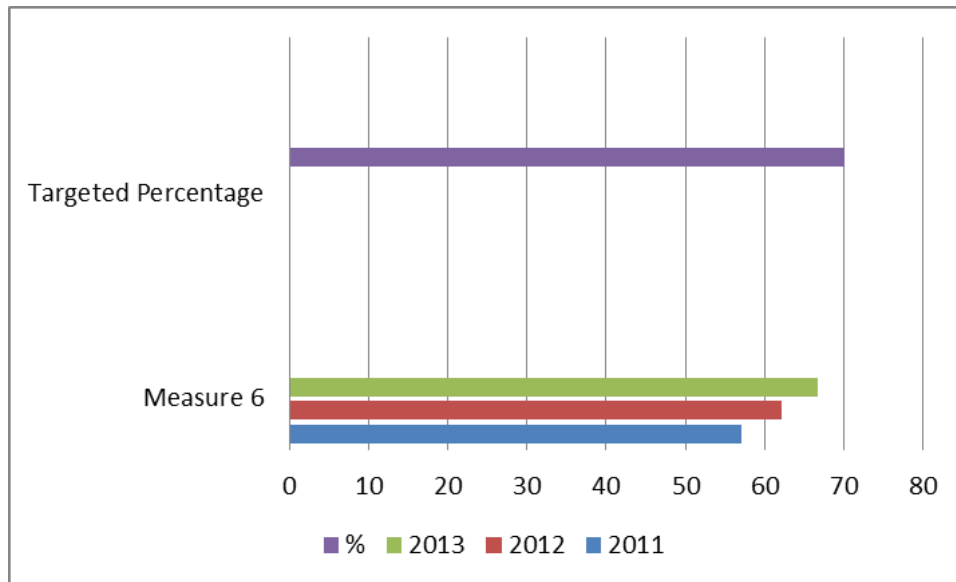


Measure #4 – 66.7 percent (targeted percentage is 70) of state agencies report that they have a process to review retention requirements of records stored in systems that are slated to be upgraded, replaced or taken out of use. This is a decrease from the 79.3 percent reported in the 2012 survey, but is still an increase from the 65.7 percent reported in the 2011 survey. The decrease moves this measure back out of the Success category that was attained as a result of the 2012 survey.

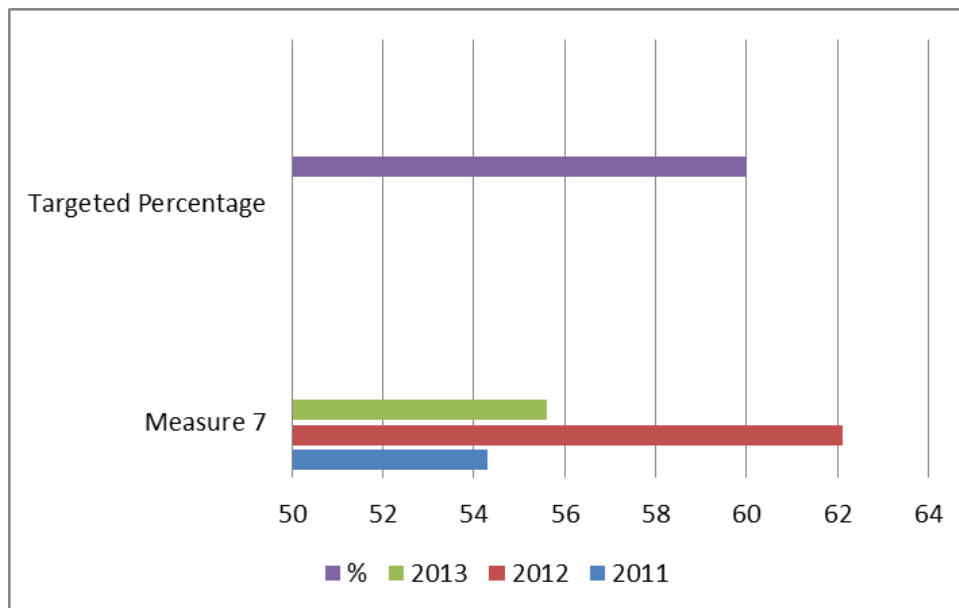


Measure #6 – 66.7 percent (targeted percentage is 70) of state agencies report that they have a records management component in the agency’s Information System Development Methodology (ISDM) that includes requirements for records retention and disposition in accordance with established retention schedules. This is an increase from the 62.1 percent reported in the 2012 survey, and a further increase

from the 57.1 percent reported in the 2011 survey. Although this measure is still below the targeted level of 70 percent, it nevertheless shows continued progress.



Measure #7 – 55.6 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 decrease from the 62.1 percent reported in the 2012 survey, but is still an increase from the 54.3 percent reported in the 2011 survey. The decrease moves this measure back out of the Success category that was attained as a result of the 2012 survey.



Other observations

- 79.4 percent response rate (27 responses out of 34 surveys sent). This is a decrease from the 85 percent response rate in 2012, and a further decrease

from the 97 percent response rate in 2011. This could well be a matter of “survey fatigue” among agencies already heavily burdened with required reporting mandates.

- 92.6 percent (25 of the 27 survey responses) were submitted by the agency RMLO. This is a statistically insignificant decrease from the 93.3 percent of RMLO respondents in the 2012 survey, a still significant increase from the 80 percent of RMLO respondents in the 2011 survey, and still exceeding the 91.7 percent in the initial survey.
- Eleven agencies (Department of Revenue; Department of Transportation; Fish and Wildlife Conservation Commission; State Board of Administration; Department of Economic Opportunity; Department of Citrus; Department of Agriculture and Consumer Services; Department of Financial Services; Public Service Commission; Department of Management Services and Department of Highway Safety and Motor Vehicles) answered “yes” to all the success measure questions. This is an increase from seven agencies in the 2012 survey, and a further increase from three agencies in the 2011 survey.
- Based on comments submitted, many agencies increasingly incorporated goals of the Strategic Plan into their policies and procedures, and took significant actions to meet the plan’s success measures, including:
 - The Department of Children and Families commissioned a study to analyze electronic records keeping practices. Based in part on this study, updates, including training, are pending recordkeeping policies, and databases are being reviewed for retention requirements.
 - The Department of Management Services is developing an Application Development IT policy, which will include a section on retiring old applications, and specifically give focus to recognizing records retention requirements and developing and exercising a plan to convert the data for records access.
 - The Department of Revenue continues its efforts to proactively manage its electronic records through a collaborative effort with records managers, information owners, custodians and information technology personnel. The RMLO attends quarterly meetings with information technology personnel, during which records management initiatives are often discussed. The RMLO continues to be included in initiatives to ensure appropriate document retention criteria and standards are addressed. Revenue’s conversion to an enterprise email system is a collaborative approach addressing information technology, business needs and records management requirements and limitations.
 - The Department of Transportation’s RMLO conducts Quality Assurance Reviews of the department’s district office records management programs, including records stored electronically.
 - The Department of Health is organizing work groups to assist in awareness of the recordkeeping program as it relates to electronic records.

- The Department of Highway Safety and Motor Vehicles holds quarterly meetings with the records management team, which includes an Information Technology staff member. Additional meetings are held on an as needed basis. The Department’s *Business Requirements Guidelines* address records retention and accessibility requirements, including requirements for retention of records stored in the system, and accessibility to archived data.
- The number of “no” responses to the success measure questions continues to decline:
 - Eleven agencies answered “yes” to all 12 of the success measure questions in 2013, the highest number of agencies with zero “no” answers from all four surveys.
 - One agency (Agency for Persons with Disabilities) answered “no” to 3/4 (nine out of 12) of the success measure questions, and one agency (Department of Business and Professional Regulation) answered “no” to 2/3 (eight out of 12) of the success measure questions. In the 2012 survey, three agencies answered “no” to eight or more success measure questions.
 - Twenty-one of the 27 responding agencies (78%) answered “no” to less than half (fewer than six out of 12) of the success measure questions.

Achievements, Steps Taken and Next Steps

Because progress is never completely linear, it is no surprise that the follow up surveys might show slight declines in a few areas from one survey year to the next. Despite this, the overall progress of state agencies is clearly demonstrated over the course of this project.

	<u>2011</u>	<u>2013</u>	<u>Change</u>
Measure 1	71.4%	70.4%	- 1.0
Measure 2	80.0%	81.5%	+ 1.5
Measure 3	45.7%	51.9%	+ 6.2
Measure 4	65.7%	66.7%	+ 1.0
Measure 5	71.4%	81.5%	+10.1
Measure 6	57.1%	66.7%	+ 9.6
Measure 7	54.3%	55.6%	+ 1.6
Measure 8	74.3%	85.2%	+10.9
Measure 9	77.1%	88.9%	+11.8
Measure 10	97.1%	96.3%	- 0.8
Measure 11	97.1%	92.6%	- 4.5
Measure 12	80.0%	96.3%	<u>+16.3</u>
Overall Change			+62.7

Based in part on the results of these surveys, the Department continually updates the electronic records management component of its records management training seminars and webinars. The Department sends all public agencies regular notifications regarding these training opportunities.

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 ensure that this trend continues, the Department plans to:

- Continue to update and provide training for State agencies in meeting electronic records management requirements, ensuring particularly that the training incorporates those objectives showing the least overall progress.
- Contact and offer customized technical assistance to the following six agencies that answered “no” to 1/2 or more (six or more out of 12) of the success measures: Office of Public Counsel; Agency for Persons With Disabilities; and the Departments of Business and Professional Regulation; Elder Affairs; Health and Juvenile Justice.

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

- List of agencies that received and responded to the 2013 survey.
- Survey questions and response summary (separate PDF file).

List of Agencies that Received Survey

Responses received from **bolded** agencies.

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