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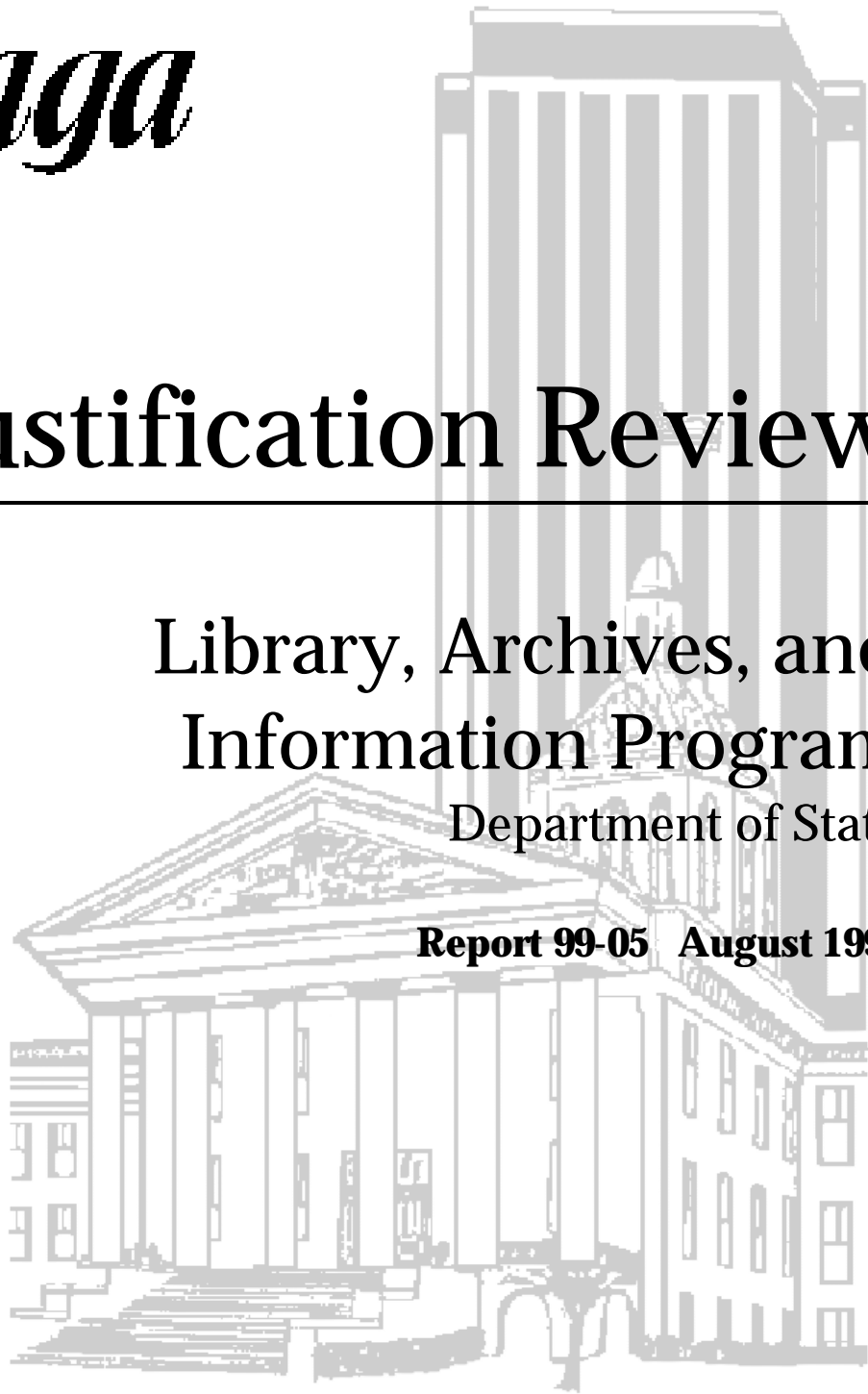
Justification Review

Library, Archives, and Information Program

Department of State

Report 99-05   August 1999

Office of Program Policy Analysis and Government Accountability

an office of the Florida Legislature

Library, Archives, and Information Program

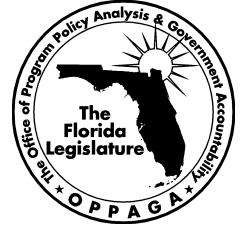Department of State

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The Florida Legislature

OFFICE OF PROGRAM POLICY ANALYSIS AND GOVERNMENT ACCOUNTABILITY

John W. Turcotte, Director

August 1999

The President of the Senate,
the Speaker of the House of Representatives,
and the Joint Legislative Auditing Committee

I have directed that a program evaluation and justification review be made of the Library, Archives, and Information Program administered by the Department of State. The results of this review are presented to you in this report. This review was made as a part of a series of justification reviews to be conducted by OPPAGA under the Government Performance and Accountability Act of 1994. This review was conducted by Brian Betters and Kara Collins-Gomez under the supervision of Debbie Gilreath.

We wish to express our appreciation to the staff of the Department of State for their assistance.

Sincerely,

John W. Turcotte
Director

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Justification Review of the Library, Archives, and Information Program

Purpose

This is the second of two reports presenting the results of our Program Evaluation and Justification Review of the Department of State's Library, Archives, and Information Program. State law directs our office to complete a justification review of each state agency that is operating under a performance-based program budget. Our office reviews each program's performance and identifies alternatives for improving services and reducing costs.

Background

The intent of the Library, Archives, and Information Program is to perform services and activities that support the development of library service to state government, to the libraries and library profession of the state, and to the citizens of Florida. The program has three bureaus that perform seven main functions: the Bureau of Library Development is responsible for grants administration and consultation services; the Bureau of Library and Network Services operates the State Library of Florida, maintains the Florida Collection, and provides network services for the public and state employees; and the Bureau of Archives and Records Management maintains the State Archives and provides records management services to state and local governments.

The Library, Archives, and Information Program is funded through general revenue and several trust funds that receive their funding from both state and federal sources. The program was appropriated a total of $49.3 million and 120 FTE positions for Fiscal Year 1999-00. General revenue appropriations amounted to $41.7 million and appropriations from trust funds totaled $7.6 million.

Program Need

The Library, Archives, and Information Program's functions are beneficial to the state and should be continued. Two of the program's seven functions are essential public services, and its five remaining functions, although not essential, provide a valuable public benefit. The two essential program functions are preserving and maintaining materials about the people and historical events of Florida through the Florida Collection and preserving and maintaining the public records of Florida state government through the State Archives. Administering federal grants and working with local government officials, community leaders, and librarians to aid and encourage the development of libraries are valuable functions that support the improvement and expansion of library services throughout the state. The program's State Library, network services, and records management services benefit the public and state and local government agencies by improving the efficiency of research activities, improving accessibility to government information, and supporting the cost-effective and efficient management of records.

General Conclusions

The Florida Department of State should continue to administer the Library, Archives and Information Program. The placement of the program under the Secretary of State, whose department also has responsibility for cultural affairs, appears appropriate and we found no compelling benefit to changing the organizational placement of the program within state government.

The Legislature should consider transferring the Library for the Blind from the Department of Labor and Employment Security to the State Library. The main advantage of placing the Library for the Blind in the State Library, as do most other states, is that the parent entity is a library organization and, as such, may better understand the present and future needs of the Library for the Blind. The State Library is already required by law to make all necessary arrangements to provide library services to blind and physically handicapped persons in the state and is actively involved in supporting these services. Because of its experience in providing library services and current involvement with the Library for the Blind, transferring the Library for the Blind to the State Library may prove to be a more efficient and effective means of providing services.

Our study also identified concerns specific to the program's functional areas.

The Bureau of Library Development is not effectively monitoring libraries' use of State Aid and Library Cooperative grants. Although the bureau is able to produce examples of the positive impact of one of its primary library development activities, identifying and developing opportunities to enhance funding at the local level, the bureau is unable to demonstrate the effectiveness of its liaison and specialty area consultation services.

The Bureau of Library and Network Services has shifted the focus of the State Library to state agencies, which has had a positive impact on meeting their information needs. However, there are several opportunities to improve the State Library's collection development process.

The Bureau of Archives and Records Management has had a positive impact on records management in the state. However, the efficiency and effectiveness of the records disposition process could be improved. Statutory amendments are also needed to limit confusion regarding records scheduling. Although the bureau has increased the acquisition and accessibility of historical records in the State Archives, it should actively seek to minimize the risk to historical documents held by state agencies. State matching funds are also needed to assist local governments in obtaining federal grants for the preservation of records with historical value.

Recommendations

The 1999 Legislature transferred the Division of Blind Services, which includes the Library for the Blind, from the Department of Labor and Employment Security to the Department of Education, effective January 1, 2001. To ensure that the needs of blind individuals are met in an efficient and effective manner, we recommend that the Legislature consider transferring the Library for the Blind to the State Library within the Department of State during this reorganization, rather than having it remain a part of the Division of Blind Services.

In addition to the policy-level issue discussed above, we identified concerns specific to several of the program's functional areas. Our recommendations for addressing these issues are discussed below.

Grants Administration

To ensure that the program can completely and accurately report to the Legislature on the use and impact of state grant funds, we recommend that the Bureau of Library Development more carefully monitor libraries' use of state grants by requiring a detailed accounting of grant expenditures. We further recommend that the bureau continue its efforts to assist local libraries in the development of outcome measures that demonstrate what is being accomplished with state grant funds.

Consultation Services

To ensure that the program is efficiently and effectively providing consultation services, we recommend that the Bureau of Library Development develop standard methods of tracking, documenting, and evaluating services that allow it to demonstrate that quality services are being provided consistently throughout the state. To ensure that program resources devoted to specialty areas are adding value comparable to the level of service needed, we also recommend that the bureau assess the scope of its services, identify priority specialty areas, and direct resources to developing expertise in areas identified as having the highest priority or need.

State Library

To improve its collection development process, we recommend that the Bureau of Library and Network Services solicit direct input from state agency resource providers as to agency information needs and request their active participation on its collection development teams. To ensure that it is not unnecessarily duplicating existing state agency collections, we also recommend that the bureau request and review catalogs of agency library collections.

Records Management

To ensure that the Legislature's intent for an efficient and economical records management program is attained, we recommend that the Bureau of Archives and Records Management eliminate the review and approval of final records destruction requests and delegate this administrative function to agencies. To that ensure agency management practices facilitate compliance with state records management laws, we further recommend that the bureau initiate reviews of the condition of public records in agencies and notify agencies of instances of non-compliance. The program should include in its annual report to the Legislature a record of those state agencies that continue to remain out of compliance with state laws.

To eliminate confusion regarding records scheduling, we recommend that the Legislature amend statutory language related to retention of government documents. To facilitate this process, we recommend that the Legislature direct the Bureau of Archives and Records Management to provide it with an updated list of suggested language and statutory citations that require clarification.

State Archives

To ensure that records of historical value are properly preserved and protected, we recommend that Bureau of Archives and Records Management staff work with agencies to actively search for such records and test the program's statutory authority by requesting the transfer of non-current, historical records to the State Archives. If the program determines that its statutory authority is insufficient and that a significant number of historical documents are at risk, we further recommend that the bureau request clarification of legislative intent and any necessary statutory amendments.

To ensure that the state continues to receive federal funding to support the preservation and maintenance of records that have historical value at the local level, we recommend that the Legislature consider providing state matching funds for federal education and training grants.

Agency Response

The Secretary of State provided a written response to our preliminary and tentative findings and recommendations. (See Appendix B, page 49, for her response.)

Introduction

Purpose

This is the second of two reports presenting the results of OPPAGA's Program Evaluation and Justification Review of the Department of State's Library, Archives, and Information Program. The Government Performance and Accountability Act of 1994 directs OPPAGA to conduct justification reviews of each program during its second year of operating under a performance-based program budget.[1]   Justification reviews assess agency performance measures and standards, evaluate program performance, and identify policy alternatives for improving services and reducing costs. In March 1999, we published a report presenting our analysis of the program's performance measures and standards and its performance using these measures.[2] This report analyzes policy alternatives for improving program services and reducing costs. Appendix A summarizes our conclusions regarding the nine issue areas the law requires to be considered in a program evaluation and justification review.

Background

The intent of the Library, Archives, and Information Program is to perform services and activities that support the development of library service to state government, to the libraries and library profession of the state, and to the citizens of Florida. The program administers federal and state grants and provides aid and assistance to public libraries, archival and records management services for government agencies, and reference and information services for state agencies, other libraries, and the general public.

Organizationally, the Library, Archives, and Information Program is administered by a division within the Department of State. Exhibit 1-1

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[1] The Library, Archives, and Information Program began operating under a performance-based program budget in Fiscal Year 1997-98.

[2] Our first report, *PB²Performance Report for the State's Library, Archives, and Information Program*, Report No. 98-72, March 1999, addressed the program's performance based on its performance based budgeting measures and standards and made recommendations for improving these measures and standards.

identifies the primary functions of the Library, Archives, and Information Program and the three bureaus responsible for those functions.

Exhibit 1-1
The Library, Archives, and Information Program
Has Three Bureaus That Perform Seven Main Functions

Bureau	Primary Functions
Bureau of Library Development	**Grants Administration.** Administers federal and state grants to supplement local funding for the establishment, construction, and operation of local public libraries
	Consultation Services. Provides aid and assistance in the development of the public libraries and stimulates statewide cooperation among libraries of all types
Bureau of Library and Network Services	**State Library.** Operates the State Library of Florida which provides reference and information services for state agencies, other libraries, and the general public
	Florida Collection. Preserves maps, books, and manuscripts that have permanent or long-term historical or research value about the people and historical events of the state of Florida
	Network Services. Provides an interlibrary loan program and public information on Florida government (The Florida Government Information Locator Service)
Bureau of Archives and Records Management	**Records Management.** Provides technical assistance to state, county, and local governments on the management and preservation of records
	State Archives. Preserves public records that have permanent or long-term historical or research value about Florida state government and maintains Florida's archives

Source: Compiled by OPPAGA.

The program is governed by state and federal law. State law directs the division to perform services and activities that support the development of library service to state government, the libraries and library profession of the state, and the citizens of Florida. The program is also affected by the federal Library Services and Technology Act, which is largely focused on library development and requires that each state designate a single agency to administer the program and funds received pursuant to the act. In addition, the program's procedures and policies are guided by several federal laws, including the Copyright Law of the United States, Records Disposition Statutes, and Records Disposition Regulations.

Program Resources

As shown in Exhibit 1-2, the Library, Archives, and Information Program is funded through general revenue and several trust funds that receive their funding from both state and federal sources.

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Exhibit 1-2
The Program Is Funded by State and Federal Dollars

Fund	Revenue Source	Fiscal Year 1999-00 Appropriations (in Millions)
General Revenue Fund	State general revenue	$41.7
Library Services Trust Fund	Federal grants plus $20,000 annually from lost book fees collected by the State Library	5.2
Public Access Data Trust Fund	Transfers from the department's Divisions of Licensing, Elections, and Corporations	0.8
Records Management Trust Fund	Fees collected for records storage and archival and microfilm services	1.6
Total Funding		**$49.3**

Source: 1999-00 General Appropriations Act and OPPAGA's Florida Government Accountability Report on the Library, Archives, and Information Program.

In Fiscal Year 1999-00, the program was appropriated a total of $49.3 million. General revenue appropriations amounted to $41.7 million and appropriations from trust funds totaled $7.6 million.

The division was authorized 120 FTE positions for program operations in Fiscal Year 1999-00. Exhibit 1-3 shows how the FTEs were assigned within the program.

Exhibit 1-3
The Program Was Authorized 120 FTE Positions in Fiscal Year 1999-00

Source: 1999-00 General Appropriations Act.

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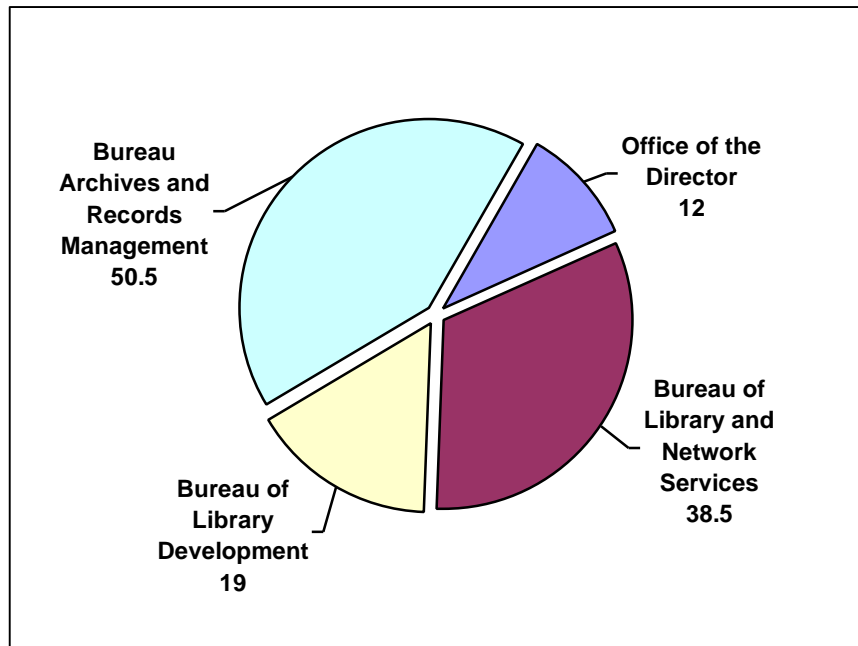
General Conclusions and Recommendations

Introduction

The Department of State established its Library, Archives, and Information Program under performance-based program budgeting in Fiscal Year 1997-98. The program's mission is to work in partnership with archivists, librarians, records managers, governmental officials, and citizens to assure access to materials and information that enable local libraries and agencies to provide effective information services for the benefit of the people of Florida.

Program Need

We concluded that two of the program's seven functions are essential public services, and its five remaining functions, although not essential, provide a valuable public benefit.

Florida Collection and State Archives are essential to preserve the history of the people and the state documents of Florida

- **Florida Collection.** Preserving and maintaining materials about the people and historical events of Florida that have permanent or long-term historical or research value is an essential activity. As one of the most comprehensive collections of Floridiana in existence, the program's collection serves as a central repository of maps, books, and manuscripts that provide the historical background and record of events that influenced government decisions. Without the Florida Collection, materials recorded in the State Archives documenting the decisions of Florida's leaders would lack context and perspective. For example, while the State Archives contains the public documents of Florida's twenty-fifth Governor, Doyle E. Carlton, the Florida Collection has historical materials written at or about the same period describing the Governor, his term in office, and historical events of that time, such as the collapse of Florida's land boom, the devastating hurricane of 1928, and the national depression.

- **State Archives.** Preserving and maintaining the public records of Florida state government that have permanent or long-term historical or research value is an essential activity. The State Archives serves as

the central repository for the archives of state government and is responsible for retaining the documentary history of the state government, such as the Florida Constitutions. Without an archives, a government risks losing documentation of the original meaning and intent of its leaders' decisions. For example, the absence of a state archives resulted in the loss of Florida's first State Constitution.

- **Grants Administration.** Administering federal grants, although not an essential state function, provides a valuable public benefit and is essential to the continued receipt of federal funds. The federal government requires that a single state library agency administer the program and funds that are received pursuant to the Library Services and Technology Act. Without the program, Florida libraries would be denied access to approximately $6 million in federal funds each year.

- **Consultation Services.** Working with local government officials, community leaders, and librarians throughout the state to aid and encourage the development of libraries provides a valuable public benefit. These activities help to ensure that all Florida citizens have equal access to free public library service and to statewide library programs. In addition, the program's activities promote and support the use of technology in library settings, including the provision of Internet access to library patrons. Finally, the program's activities help promote the continuing education and professional development of library administrators and staff.

- **State Library.** The State Library provides prioritized information services to state agencies that benefit state employees by improving the efficiency of their research activities. The program's focus on the information needs of state agencies has improved state employee access to local resources, such as the library's reference, government documents, and circulating collections, and to outside resources though the interlibrary loan system. The State Library also provides valuable training on the use of electronic research tools and technical assistance to state employees.

- **Network Services.** The program operates online Internet services that result in valuable benefits for state agencies, local public libraries, and the general public by improving accessibility to government information. The bureau provides online Internet information services, such as the Florida Government Information Locator Service, which is an online directory of state government information. The State Library also serves as the central site of the Florida Library Information Network, which is the statewide cooperative network of Florida's libraries for sharing resources with each other.

- **Records Management**. The program's Records Center benefits state and local government agencies by supporting the cost-effective and efficient management of records. The program provides cost-effective records storage and microfilm services for local and state agencies and

provides training and technical assistance to support the development and implementation of effective records management and archives programs statewide. The records management process also initiates the preservation of public records for the State Archives through its screening of records destruction requests.

Accordingly, we concluded that the program's seven major functions should be continued. However, improvements can be made in several of these functions, as discussed in Chapters 3, 4, and 5.

Program Performance

The program's primary accomplishment has been to assist in the development of public libraries in Florida. When Florida's state law providing for state aid to local libraries was passed in 1961, only 18 counties were able to qualify to receive state grant aid. In October 1997, after 36 years of providing state aid to public libraries, the division was providing assistance to all 67 counties in Florida. The division continues to work in partnership with archivists, librarians, records managers, governmental officials, and citizens to ensure that all citizens of Florida have access to materials and information of past, present, and future value.

The Program's PB²Performance Measurement Set Needs Improvement

Program performance measures provide limited assessment of performance

The department's performance-based program budgeting (PB²) measures do not sufficiently demonstrate the impact of the program. As noted in OPPAGA's *PB²Performance Report on the Library, Archives, and Information Program*, problems with measure validity and reliability limit the use of the program's PB²performance measures in assessing the impact of this program. Some of the measures are not valid indicators of performance, and the remaining measures provide a limited assessment of the division's Bureau of Archives and Records Management and Bureau of Library and Network Services. The measures that can be used to assess program performance indicate that overall performance in records management has improved, despite the diminished demand for micrographics services due to technological developments in state agencies. The measures also indicate that use of the state library and archives reference collections has increased, but that additions to the statewide library holdings database has slowed.

The program's PB²measures include several informational measures describing the activities of local public libraries and the benefits they

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provide to their communities. These measures are not direct indicators of the program's performance, but do provide the Legislature with valuable information on the activity of public libraries throughout the state. For example, the measures demonstrate that between Fiscal Years 1995-96 and 1997-98 there was an increase in local library use, as evidenced by a significant increase in the number of items loaned, library visits, registered borrowers, library program attendance, and number of volumes in the library collections. However, due to questionable data reliability and inconsistent and frequent changes in methods for collecting and reporting data, these measures should only be considered to be estimates and may not be reliable indicators of changes in local library services over time.

Justification Review Conclusions ——————

While many states have independent state library agencies, other states have their state library function within a larger agency, such as the department of education, an secretary of state, or a department responsible for cultural affairs. The placement of Florida's program under the elected Secretary of State, whose department also has responsibility for cultural affairs, appears appropriate and we found no compelling benefit to changing the organizational placement of the program within state government.

Florida's Library for the Blind may benefit from location in the State Library

The Legislature should consider transferring the Library for the Blind from the Department of Labor and Employment Security to the State Library. Most other states include their Library for the Blind in their state library. The main advantage of placing the Library for the Blind in the State Library would be that the parent entity is a library organization and, as such, may better understand the present and future needs of the Library for the Blind. The State Library is already required by law to make all necessary arrangements to provide library services to blind and physically handicapped persons in the state and is actively involved in supporting these services.[3] Because of its experience in providing library services and current involvement with the Library for the Blind, transferring the Library for the Blind to the State Library may prove to be a more efficient and effective means of providing services.

In OPPAGA Report No. 94-23, we recommended that the Library for the Blind be transferred from within the Division of Blind Services to the State Library.[4] The 1999 Legislature transferred the Division of Blind Services, which includes the Library for the Blind, from the Department of Labor and Employment Security to the Department of Education, effective January 1, 2001. The Legislature may wish to again consider transferring

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[3] Section 257.04(5), Florida Statutes.

[4] *Performance Audit of the Division of Blind Services*, OPPAGA Report No. 94-23, December 1994.

the Library for the Blind to the State Library during this reorganization, rather than having it remain a part of the Division of Blind Services.

Our study also identified concerns specific to the program's functional areas. These issues are discussed in detail in Chapters 3 through 5 of this report.

Potential for Privatization

Privatization would not be effective

Although several functions and activities of the program presented opportunities for privatization, we concluded that it would not be cost-effective for the state to pursue this alternative at this time. We assessed the potential for privatizing the storage of state records. Our review built upon a cost analysis conducted by the State Council on Competitive Government that determined that the contracting cost would be greater than the cost of the state providing this service.[5] Our update of this analysis, which included future costs of increasing the capacity of the state's storage facility, came to the same conclusion. We also evaluated the potential for privatizing the microfilm production activity at the State Records Center. Our analysis of cost information from the local entities capable of providing microfilm services determined privatizing this activity would be too costly for the state to pursue at this time.

Recommendations

To ensure that the needs of blind individuals are met in an efficient and effective manner, we again recommend that the Legislature consider transferring the Library for the Blind from the Division of Blind Services to the State Library within the Department of State.

Our recommendations for improving the program's functional areas are discussed in detail in Chapters 3 through 5 of this report.

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[5] State Council on Competitive Government Proposal No. 96-013.

Bureau of Library Development

The primary mission of the Bureau of Library Development is to support the establishment, expansion, and improvement of public library service in Florida. The bureau is responsible for planning, organizing, directing, and coordinating a program of statewide cooperation and networking between different types of libraries, including public, academic, private, and institutional libraries. The bureau also develops and administers statewide library programs in the areas of interlibrary cooperation, youth services, and services to adults and special clientele.

To accomplish its mission, the bureau

- distributes, administers, and monitors state and federal grants to local libraries and

- provides consultation and technical assistance to public library personnel, local and state agency personnel, associations, and governing bodies.

In Fiscal Year 1998-99, the bureau was allocated 19 positions for consultants, senior clerks, and staff assistants. Budget allocations for the bureau during this period amounted to $43.7 million.

Administration of Grants

Introduction

The bureau awards federal and state grants to libraries to improve the quality and accessibility of library services throughout the state. The bureau has a fiduciary responsibility to ensure that these funds are expended according to sound financial principles and practices and that these resources achieve maximum benefit for the people of Florida. These grants can be used for many purposes, including general library operations, construction, and library programming.

Federal grants are received through the Library Services and Technology Act and administered by the federal Institute of Museum and Library Services. These grants are intended to increase information access through technology and to promote information empowerment through special services. Each state is awarded a base amount of $340,000, plus an

additional amount that is calculated using a population-based formula. In Fiscal Year 1998-99, Florida's award amounted to $6.1 million. Library Services and Technology Act grants are awarded directly to the Department of State, Library, Archives, and Information Program. In turn, the department awards grants to fund library services at both the state and local level through a competitive process that includes evaluation and scoring of proposals by program staff and management and an advisory council.[6] Federal grants have a state matching requirement, which flows down to the local libraries for any subgrants they are awarded.

State grants include State Aid, Library Cooperative, and Library Construction grants. The intent of State Aid grants is to assist local governments in providing equal access to free public library service and in providing consistent operational and development plans, programs, policies, and procedures.[7] Library Cooperative grants are intended to meet the educational and informational needs of Florida residents by encouraging and assuring cooperation among libraries of all types and facilitating the operation of six multi-type library cooperatives.[8] Library Construction grants are awarded for the purpose of providing financial assistance to governments for the construction, remodeling, or expansion of public libraries.

Funds for all state grants are received through legislative appropriation. The method of awarding state grants varies, depending on the type of grant. State Aid grants are formula-based, with grant awards ranging from $20,075 to $3,192,698.[9,10] Library Cooperative grants equal 10 times the local cash match amount up to a maximum grant award of $400,000. Library Construction grants are awarded competitively, and the maximum grant award is $500,000. All state grants have a local matching requirement.

Total state and federal grant awards for Fiscal Year 1998-99 are included in Exhibit 3-1.

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[6] There are nine federal grant categories: Bibliographic Enhancement, Born to Read, Family Literacy, FloriNet Connectivity and Services, FloriNet Training, Library Automation, Library Service to Older Adults, Linking Libraries and Communities, and Technology Planning.

[7] State Aid grants include operating, equalization, multi-county, and establishment grants.

[8] A multi-type library cooperative is a not-for-profit corporation consisting of two or more libraries under separate governance and of more than one type, including any combination of academic, school, special, state institution, and public libraries.

[9] State Aid grants are formula-based except for establishment grants, which are always $50,000.

[10] This range applies to State Aid grants awarded in Fiscal Year 1998-99.

Exhibit 3-1
The Bureau Awarded $44.7 Million in Grants to Local Libraries
in Fiscal Year 1998-99

Grant Type	Award Amount (in millions)
State Aid	$30.7
State Library Cooperative	1.2
State Library Construction	6.7
Federal Library Services and Technology Act	6.1
Total	$44.7 [1]

Source: Calculated by OPPAGA using bureau grant award documents.
[1] In Fiscal Year 1998-99, the total grants awarded exceeded bureau allocations because federal grants can be spent over a two-year period.

In its administration of grants, the bureau performs two functions. First, it provides technical support for the grant process, which includes developing grant procedures and application forms, assisting applicants with grant writing, reviewing and evaluating grant applications, and sponsoring grant workshops. Second, it monitors grantees' use of grant funds.

Program Performance

As noted in OPPAGA's *PB²Performance Report for the State's Library, Archives, and Information Program,* the program's PB²measurement set does not represent some of the program's major functions, including the bureau's administration of grants. We suggested that the department add a measure of bureau efforts in this area. The bureau has agreed to study the development of a measure that demonstrates the impact of its grant administration function.

In this second review, we determined that the bureau is not effectively monitoring libraries' use of State Aid and Library Cooperative grants.

The Bureau Needs to Collect Better Information on How Libraries Use State Aid and Library Cooperative Grants

Grant programs provide local libraries control and flexibility in grant fund use

State Aid and Library Cooperative grant programs are intended to provide local libraries with a high level of control and flexibility in their use of grant funds. In order to receive funds, grantees must meet basic eligibility requirements and submit required documents, including a long-range plan, annual plan of service, budget, expenditure report, summary financial report, annual statistical report, and annual audit. Grant funds may be used for any operational purpose, which includes staff salaries

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and benefits, materials, equipment, and any other expense incurred in the normal operation of a library.

Information on grant funds needed to determine use and public benefit

Although the use of State Aid and Library Cooperative grant funds is at the discretion of the local libraries, information is needed by the state as to how grant funds are being used and what public benefit has resulted from their use. This information is needed to assist the Legislature in making future funding decisions and determining appropriations for grant awards. Currently, the bureau is not effectively gathering and monitoring such information.

The bureau does not require State Aid and Library Cooperative grantees to provide a complete and accurate accounting of grant expenditures. Grantees are required to submit expenditure reports that provide grant expenditure information in several categories, including personnel, library materials, equipment/furniture, and automation/technology. While some grantees provide specific expenditure information in these categories (e.g., number of books purchased, amount used to hire private planning consultant), some simply provide total expenditure amounts without further explanation. In addition, because most libraries do not track their expenditures by revenue source, the amounts included on the expenditure reports are often estimates rather than actual expenditures. The required reporting of specific information as to categorical expenditures and the subsequent review of such information by bureau staff would provide greater assurance that compiled information reported to the Legislature is accurate.

The bureau has not required state grant-receiving libraries to develop outcome measures that demonstrate what is being accomplished with grant funds.[11] Instead, State Aid grantees submit an annual report that provides statistical information about library collections and services (e.g., total number of books, annual circulation, and number of library visits). While this data provides information about library services at the local level, it neither describes program results nor demonstrates the public benefit or value added by state grant funds.

The Library Services and Technology Act provides a model for monitoring grants

The federal Library Services and Technology Act's emphasis on accountability and evaluation in libraries provides an excellent model for the bureau's monitoring of State Aid and Library Cooperative grants. In accordance with federal objectives, the bureau requires Library Services and Technology Act grant recipients to establish a plan for measuring program outcomes and to demonstrate their use of grant funds. In addition, the bureau is adopting the United Way model of program evaluation, an eight-step approach to developing a system for measuring program outcomes.[12] The bureau has contracted with outside consultants

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[11] Outcome measures describe program results and demonstrate the public benefit or value of the program.

[12] *Measuring Program Outcomes: A Practical Approach,* United Way of America, 1996.

to adapt the model for use in libraries and to teach bureau consultants how to train local library personnel to use the model.

Libraries' use of state funds should be accounted for and monitored

To ensure that local libraries' use of state grant funds can be completely and accurately accounted for, the bureau should require that grantees provide specific information as to grant expenditures at the end of the grant period. Bureau staff should review the reports and, if staff discover that expenditure amounts are inconsistent with the details of expenditures, ask grantees to provide further explanation and documentation of their expenditures. This will allow the bureau to ensure that compiled information reported to the Legislature provides an accurate accounting of how grant funds are being utilized at the local level.

Local libraries should be encouraged to develop outcome measures

To help local libraries demonstrate what is being accomplished with state grant funds, the bureau should continue to encourage and assist libraries in the development of outcome measures. In response to federal requirements, the bureau has already taken steps to introduce the concept of outcome measurement to local libraries and is in the process of preparing a training manual and workshop for outcome measurement in libraries settings. Libraries receiving both federal and state grants should be actively encouraged to participate in this training.

Recommendations

To ensure that the bureau can completely and accurately report to the Legislature on the use and impact of state grant funds, we recommend that the bureau more carefully monitor libraries' use of State Aid and Library Cooperative grants by requiring a detailed accounting of grant expenditures. We further recommend that the bureau continue its efforts to assist local libraries in the development of outcome measures that demonstrate what is being accomplished with state grant funds.

Consultation Services

Introduction

To achieve its mission, the bureau provides consultation services to public library administrators and staff that cover a variety of topics related to library governance, long-range planning, library management, interlibrary cooperation, and service delivery. Consultation activities vary, depending on the needs of the local library, but include identifying and developing opportunities to enhance funding at the local level, providing assistance with program development and implementation,

and responding to information requests. The primary goal of consultation services is capacity building at the local library level. Bureau staff defined capacity building as helping libraries to develop the skills and abilities needed to become self-reliant and to solve problems independently.

Bureau staff serve as both liaison and specialty consultants. Consultants are assigned to libraries or political subdivisions to provide information and assistance to local libraries, state institutions, and agencies serving the blind and physically handicapped. Liaison consultants are the points of first contact for their assigned libraries and interact with library personnel in-person and via telephone and electronic mail. [13] In addition to serving as liaison consultants, the bureau's consultants establish areas of expertise and provide information and support to local libraries within these areas. Specialty consultants are also responsible for the administration of statewide programs within their specialty areas. Statewide programs, which are described in Exhibit 3-2, include interlibrary cooperation, continuing education, youth services, and services for adults and special clientele.

Exhibit 3-2
Bureau Consultants Administer Four Statewide Programs

Statewide Program	Activities
Interlibrary Cooperation	▪ Develops, plans and directs a program of interlibrary cooperation in partnership with six multi-type library cooperatives ▪ Assists with the implementation of technology and telecommunication plans ▪ Manages federal and state grants for interlibrary cooperation ▪ Develops the Florida library bibliographic database ▪ Assists libraries with automation planning and retrospective conversion ▪ Provides staff support and representation to the Florida Library Network Council
Youth Services	▪ Provides ongoing assistance and special programs for youth librarians ▪ Administers the Florida Library Youth Program ▪ Administers the Born to Read Program
Continuing Education	▪ Provides a wide range of continuing education services to library directors, staff, partners, friends and trustees ▪ Develops and sponsors workshops, conferences, orientation programs, and meetings on a variety of topics such as long-range planning, working with library friends and trustees, Florida Library Youth Program, Born to Read, and grant writing

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[13] The division's strategic plan requires that liaison consultants make at least two site visits to their assigned libraries per year. This objective was not achieved in Fiscal Year 1997-98. However, during this period, the bureau had two consultant positions that were vacant. Moreover, some libraries received more than the required two site visits.

Statewide Program	Activities
Services for Adults and Special Clientele	▪ Provides grant funds, assistance, information, and guidance to develop and expand literacy services, programs for older adults, and services for people who require adaptations to traditional library services and materials (e.g., incarcerated, disabled, economically disadvantaged, minority, rurally isolated, and homebound individuals).

Source: Compiled by OPPAGA.

Program Performance

As noted in OPPAGA's *PB²Performance Report for the State's Library, Archives, and Information Program,* the program's PB²measurement set does not represent some of the program's major functions, including the bureau's consultation services. We suggested that the department add a measure of bureau efforts in this area, such as an indicator of customer satisfaction, which the bureau has agreed to study.

In this second review, we identified several examples of the positive impact of one of the bureau's primary library development activities, identifying and developing opportunities to enhance funding at the local level.

Patron access to public library Internet technology has increased

▪ In 1993, when the bureau began its efforts to introduce Internet technology to public libraries, less than 25% of public library outlets had public access to the Internet. During that same year, the bureau funded a pilot project that linked six public libraries to the Internet for one year. The overall purpose of the project was to collect information and identify issues that would help in developing plans and policies for network development for public libraries. In 1996, the bureau established a Library Services and Technology Act subgrant, FloriNet, to fund Internet connectivity projects at public libraries. Bureau consultants encouraged libraries to apply for FloriNet grants, provided assistance with the preparation of grant proposals, and provided Internet workshops to public library staff. These efforts resulted in 97% of public library outlets having direct digital public access to the Internet by 1999.

Public libraries received $4.2 million in federal tele-communications discounts

▪ The bureau has been instrumental in helping public libraries take advantage of the telecommunications discounts offered through the Schools and Libraries Universal Service program (E-Rate). The E-Rate is a federal initiative, authorized by the Telecommunications Act of 1996, that provides discounts on telecommunications and Internet technologies to schools and public libraries. In order to receive E-Rate discounts, libraries must create technology plans, submit discount requests, and formulate methods of demonstrating the impact of the discounts. Bureau consultants have assisted public libraries with these

activities by providing workshops, providing information about E-Rate issues, and assisting libraries with the development of their technology plans. In addition, the division was certified as an approver of technology plans for participation in the E-Rate program. Because of these efforts, Florida libraries have received over $4.2 million in E-Rate discounts to date.

Private grants valued at $10.5 million awarded to public libraries for computers, software, training and Internet access

▪ The Gates Learning Foundation awarded the division $5 million in grants in Fiscal Year 1998-99 to provide computers, Internet access, and technical training for libraries in low-income communities. The equipment and training will be available to 450 libraries and branches throughout the state that qualify under grant terms. Microsoft Corporation will also donate software with an estimated value of $3.7 million to libraries receiving grant funds and will also provide technical training to local library staff valued at $1.8 million. Only 11 other states were eligible to apply for these grants. Bureau staff actively participated in the grant process by informing public libraries about the grant opportunity, preparing the grant application, and certifying the library outlets that were included in the local grant initiative. The bureau will also play an important role in implementing the grant-funded projects at the local level.

Although such examples provide an indication of the positive impact of one of the bureau's activities, we determined that the bureau is unable to demonstrate the effectiveness of its liaison and specialty area consultation services.

The Bureau Is Unable to Demonstrate the Efficiency and Effectiveness of All of Its Consultation Services

Standardized performance indicators are not used

The bureau lacks indicators that allow it to demonstrate that its consultation services are being delivered efficiently and effectively. It also lacks standard methods of documenting and tracking consultation services. Monitoring reports and workshop evaluations are not standardized and vary from consultant to consultant. In addition, consultants choose their own methods of tracking services. This approach prevents an assessment of whether quality services are being provided consistently throughout the state.

The bureau may be providing more specialty support than needed by public libraries

The bureau also provides consultation services in 32 specialty areas, despite a 1997 study's finding that a significant number of public library stakeholders identified only 6 to 8 specialty areas as most important. This practice may prevent the bureau from using its limited resources in the most efficient manner. The 1997 study concluded that the bureau needs to better define the role of the consultants, that consultants need to have solid knowledge in their specialty area, and that hard decisions may have

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to be made about what is most important in the field and how it might best be delivered.[14]

To ensure that it is efficiently and effectively providing consultation services, the bureau must develop standard methods of planning, documenting, and evaluating services. The bureau should use standardized monitoring reports, workshop evaluation forms, and staff activity logs to allow it to demonstrate that quality services are being provided consistently throughout the state. The bureau should also follow the recommendation of our performance report and develop PB[2] performance measures for its consultation services, including a valid and reliable customer satisfaction survey. The customer satisfaction survey should evaluate the bureau's liaison and specialty consulting services, as well as its administration of statewide programs.

To ensure that program resources devoted to specialty areas are adding value comparable to the level of service needed, the bureau should assess libraries' use of its services through a periodic needs assessment.[15] The needs assessment should identify priority specialty areas as well as low demand specialties. The bureau can use the information gathered from the needs assessment to determine if the resources used for low demand specialty areas should be shifted to priority specialty areas and to further develop consultants' skills and level of expertise within these areas. Other state library agencies target program resources to a set of priority specialty areas. For example, the library development units in the state libraries of Texas, New Mexico, Idaho, and Mississippi provide consultation services in only a limited number of specialty areas.

Recommendations

To ensure that the bureau is efficiently and effectively providing consultation services, we recommend that it develop standard methods of tracking, documenting, and evaluating services that allow it to demonstrate that quality services are being provided consistently throughout the state. To ensure that program resources devoted to specialty areas are adding value comparable to the level of service needed, we also recommend that the bureau assess the scope of its services, identify priority specialty areas, and direct bureau resources to developing expertise in areas identified as having the highest priority or need.

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[14] The study, *Perceptions and Expectations for Library Development as Expressed by Library Stakeholders,* was conducted during the bureau's long-range planning process and results were used to prepare the division's long-range plan document, *Access for All.*

[15] The bureau is in the process of piloting a contact log that will be used to track consultation services, including number of customer contacts, number of information requests, information requests by specialty area, and information request turnaround time.

Bureau of Library and Network Services

Introduction

The Bureau of Library and Network Services provides a variety of information and reference services for state agency employees, other libraries, and the general public. These include providing access to local and remote electronic resources and the State Library's reference, government documents, circulating, and Florida collections. The bureau has holdings of almost 1 million items, which include almost 300,000 books, 769 periodical subscriptions, more than 10,000 volumes of bound magazines, 330,000 state and federal documents, 333,000 microforms, 4,900 films, and 8,700 videocassettes.

- **Reference Collection**. The reference collection consists of various finding tools, bibliographies, directories and indices, encyclopedias, foreign language dictionaries, biographical works, and statistical publications. The State Library also collects major Florida newspapers, current telephone books, and city directories. On-line databases, the Internet, and CD-ROM sources are available for reference searches. Reference staff are also available to search State Library collections and sources external to the library for information needed by customers and will provide bibliographies upon request. The Library will accept inquiries by direct patron referral, by subject interlibrary loan requests, by letter, or by telephone or fax if the request requires a quick response.

- **Government Documents Collection.** The bureau administers the State Documents Depository Program, which manages the collection and distributes state documents to designated depository libraries. The state documents collection consists of reports and documents from all agencies dating from the Territorial period to the present. All agencies publishing reports, studies, or other informational materials are required to deposit those publications with the State Library, which then distributes them to designated depository libraries. Twenty-six depository libraries throughout the state have received over 115,000 titles and 3,000,000 volumes. The State Library also participates in the Federal Depository Library Program. As a Federal Depository Library, it selects titles from over 25,000 new publications

each year, to create up-to-date collections oriented to state agency and local area needs. The subject areas in these collections consist of laws, regulations, environmental issues, agriculture, business, and congressional hearings. At present, the federal documents collection at the State Library includes over 193,000 items.

- **Circulating Collection.** The circulating collection at the State Library focuses on nonfiction to meet the reference needs of state employees and Florida libraries. For example, the business, public administration and government, and library science collections support extensive reference services. The State Library online catalog, which includes information on over 300,000 holdings, is available for access on-site and via the Florida Information Resource Network (FIRN) and the Internet.[16] Indexing and full-text databases are available to provide reference and research support, both locally and via the Internet. The Library also serves as the central site of the Florida Library Information Network. [17]

The bureau is also responsible for preserving and maintaining the Florida Collection. The Florida Collection is one of the most comprehensive collections of Floridiana in existence and contains historical publications, manuscripts, and maps documenting Florida's past. Researchers will find information on a wide range of topics including Florida wildlife, business, agriculture, arts, fiction, education, government, and history. The collection includes maps of Florida from the sixteenth century and travel diaries describing the development of communities in Florida during the late eighteenth and nineteenth centuries. The bureau performs archival preservation and conservation activities to protect and preserve these materials. Collection staff have been trained in these functions by the staff of the State Archives, who are regularly used as consultants. The collection information is available in a variety of formats, including books, pamphlets, broadsides, maps, clippings, pictures, and microforms of such information sources as newspapers dating back to the Civil War. Although no materials in the Florida Collection circulate, any additional copies are placed in the general collection of the State Library to facilitate loans.

In addition, the bureau provides online Internet information services, such as the Florida Government Information Locator Service and On-line State Documents. The Florida Government Information Locator Service is an on-line directory of state government information on the Internet and

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[16] The Florida Information Resource Network (FIRN) is an extensive network, which links all of Florida's public education entities to computing resources that serve public education. It also provides gateway services for users to access state and federal government information.

[17] The Florida Library Information Network (FLIN) is the statewide cooperative network of Florida's libraries that share resources with each other. The network has members from all types of libraries, including public, private academic, public academic, school district media centers, and special libraries.

includes links to local and federal government resources. The State Library of Florida, in partnership with the College Center for Library Automation, state agencies, and State Documents Depository libraries, has completed the On-line State Documents Pilot Project to test the feasibility of creating and maintaining libraries of electronic state documents for remote public access. The project has evolved into a new process, which will provide permanent access to electronic publications. Beginning in Fiscal Year 1999-00, the State Library will identify, copy, store and catalog electronic publications as they become available on the World Wide Web on a server which will interface with the division's library automation system. Researchers will have quick access to the full text of electronic publications just as easily as they locate call numbers of printed counterparts or previous (printed) editions in the State Library's Documents Collection.

The bureau was allocated 38.5 positions in Fiscal Year 1998-99, consisting of librarians, librarian specialists, librarian technical assistants, and computer systems personnel. Budget allocations for the bureau during this period amounted to $2.4 million.

Program Performance

As noted in OPPAGA's *PB² Performance Report on the Library, Archives, and Information Program*, measures included in the program's performance-based program budgeting measurement set indicated that the number of new users of the State Library collections increased, but that additions to the statewide library holdings database had slowed. To provide additional valid measures of performance, the bureau has developed and implemented a customer satisfaction survey that it is using quarterly to evaluate its performance. Results for the first three-quarters of Fiscal Year 1998-99 indicate a high level of customer satisfaction.

In this second review, we determined that the program has shifted its focus to state agencies, which has had a positive impact on meeting their information needs. However, there are several opportunities to improve the collection development process of the bureau.

The Bureau's Shift In Focus From the Local Public Libraries to State Agencies Has Had a Positive Impact on Agency Information Needs

In recent years, the State Library has shifted its focus from priority service to local public libraries to meeting the information needs of state agencies. This shift is beneficial because the services offered by public or academic

libraries may not meet the information needs of state agencies. Local public libraries focus on supporting lifelong learning by offering young adult and children's services, providing recreational reading, and meeting the general information needs of the public. The collection policies of the academic libraries in Tallahassee primarily support their teaching curriculum to meet the needs of undergraduate students in a large university environment. Neither of these types of libraries have a mission, purpose, or mandate to serve the information needs or to build collections in support of state government.

The State Library differentiates its collection and services from those of public and academic libraries

In contrast, the State Library now focuses its collection of materials to serve state agencies' needs and provides services and staffing that enable state employees to use the resources effectively. Until recently, the State Library's first priority had been to meet the information needs of public libraries. However, as public libraries have become more self-reliant, the program has shifted its focus to meeting the information needs of state agencies. For example, as the number of loan requests from other libraries has decreased due to their improved resource sharing, three program staff have been assigned the responsibility for handling state employees' interlibrary loan needs to provide priority service to state agencies. The bureau has also identified state agency information needs as having highest priority in its buying plan.[18]

State agency use is increasing through program outreach efforts

State employee knowledge and use of State Library services have improved due to outreach and training provided by State Library staff. As indicated in Exhibits 4-1 and 4-2, the bureau's efforts to meet the information needs of state agencies over a three-year period have increased both the percentage of state employee registered borrowers from 24% to 28% and their use of the circulating collection and reference services from 34% to 38%. While a dramatic short-term shift in focus of service priorities by the State Library is not feasible, state agency use of the State Library is increasing and growing faster than that of other users. For example, as program staff began developing Internet based information services and doing presentations for agencies, they realized that many state agency staff required training to use the Internet and thus would not benefit from the libraries online services. In an effort to reach out to state employees, program staff developed and provided extensive training on using the Internet as a research tool to numerous agencies. Almost 1,000 state employees received a 2.5-hour class within the first 10 months of the training effort in Fiscal Year 1996-97. State Library staff received a Davis Productivity Award for internally developing and providing the Internet training to state agencies. The program continues to provide this training on request as well as training on other library services and issues.

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[18] The buying plan required by the State Library of Florida Collection Development Policy (a published document) is a typed list of books that are to be purchased. This list is temporary; it is used and not retained in program files.

Exhibit 4-1
The Number of State Employees as Registered Borrowers Has Increased

| | Fiscal Years | | | | | |
| | 1996-97 | | 1997-98 | | 1998-99 [1] | |
Registered Borrowers	Borrowers	%	Borrowers	%	Borrowers	%
State Employees	3,710	24%	4,741	27%	5,310	28%
All Other [2]	11,766	76%	12,774	73%	13,788	72%
Total	15,476		17,515		19,098	

[1] Fiscal Year 1998-99 was extrapolated to a complete year for comparison purpose.
[2] Includes international, national, and Florida libraries as well as the general public.

Source: Department of State Library, Archives, and Information Program and OPPAGA.

Exhibit 4-2
State Agency Use of Library Services Has Increased

	Fiscal Years					
	1996-97		1997-98		1998-99[1]	
	Percentage Use By					
Library Service	State	Other [2]	State	Other	State	Other
Lending of Books and Materials	37.0%	63.0%	40%	60%	42%	58%
Reference Assistance	28.2%	71.8%	29%	71%	30%	70%
Total	33.6%	66.4%	36%	64%	38%	62%

[1] Fiscal Year 1998-99 was extrapolated to a complete year for comparison purpose.
[2] Includes international, national, and Florida libraries as well as the general public.

Source: Department of State Library, Archives, and Information Program and OPPAGA.

Services to state employees make research activities more efficient and convenient

The services provided by the State Library enable state employees to conduct research more efficiently and conveniently. State employees receive interlibrary loan service on a priority basis at no cost, even if the lender requires a fee. The State Library saves employee time by borrowing materials for registered borrowers, sending the materials to the employee's office, and accepting return of the materials in the same manner. This service also provides state employees access to a larger amount of published information than can be offered in a single agency collection.

Given the current process of distribution, state agency documents are more accessible to the public and probably at less expense to state agencies due to the State Library's administration of the State Documents Depository Program. The bureau has improved efficiency by coordinating the many individual publication requests by university and public libraries, which state agencies previously received directly. The bureau received a Davis Productivity Award for improving this service by automating the state publication catalog and providing it on the Internet.

The Bureau's Collection Development Process Could Be Improved by Obtaining Direct Input from State Agencies as to Their Information Needs

New library materials are selected by the staff in direct contact with library users

Annually, library staff form collection development teams that assess the current collections and evaluate the information needs of their clientele. The staff uses this information to develop a buying plan. The teams consist of program staff who have been in continuous contact with library users and are familiar with the subject areas for which they receive requests. Program staff use a combination of informal methods to determine agency information needs for use in developing a buying plan, such as their recollection of state employees' use of the circulating collection and reference requests, discussions with agency personnel, and anecdotal information received from state agency resource providers.[19] Library staff also review written and electronic requests for information from state employees.

Opportunities exist to improve the bureau's collection development process

However, according to program staff, the collection development teams do not seek direct input from state agencies as to their information needs. To improve its collection development process, the bureau could request that state agency resource providers become members of the collection development teams and that they solicit input from their respective agency as to unfilled or projected information needs. This information could be used to identify subject areas for the buying plan as well as subject areas in the State Library collection that were no longer needed or that were being planned for state agency collections. Involvement in the bureau's annual process would result in the collection and reference materials becoming more valuable to state agencies over time and, thus, increase their use of the State Library.

Agency library catalogs are available to provide information on agency information needs

To ensure that it is not unnecessarily duplicating existing agency collections, the bureau could also obtain catalogs of agency library collections. Many state agencies have in-house libraries or document collections, which range in size from less than 100 items to over 100,000. According to program staff, the smallest agency resource centers have a printed listing of holdings, the larger agency libraries have in-house electronic catalogs of their collections, and in a few cases the agency library collection is included in the State Library database and on-line catalog. Program staff could request and use this information to ensure it is not unnecessarily duplicating existing collections.

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[19] State agency resource providers are designated state agency library or information resource center staff that work with program staff to support the information needs of state agency personnel.

Recommendations

To improve its collection development process, we recommend that the bureau solicit direct input from state agency resource providers as to agency information needs and request their active participation on its collection development teams. To ensure that it is not unnecessarily duplicating existing state agency collections, we also recommend that the bureau request and review catalogs of agency library collections.

Bureau of Archives and Records Management

Numerous statutes require state and local agencies to retain and store public records that have historical or other value. These statutes specify retention periods from 2 to 30 years, depending on the type of record, and may authorize destruction following these periods. Other types of public records are to be permanently retained.

The Bureau of Archives and Records Management has statewide responsibility to promote the economical and efficient management of public records and to administer the Florida State Archives.

- The bureau provides schedules for minimum records retention to state and local government, approves or disapproves their requests for destruction, establishes standards for creation, use and storage of records, provides training and technical assistance services on the management and preservation of records, and operates the records storage center in Tallahassee.

- The Florida State Archives is the central repository for the archives of the state government and is mandated by law to collect, preserve, and make available for research the historically significant records of the state, as well as private manuscripts, local government records, photographs, and other materials that complement the official state records.

The bureau was allocated 50.5 positions in Fiscal Year 1998-99, consisting of records analysts, records warehouse staff, reference and collection archivists, and microfilm production staff. Budget allocations for the bureau during this period amounted to $2.5 million.

Records Management

Introduction

The bureau reviews and approves retention and disposition schedules for agency records and provides training and technical assistance to support good records management practices. Six records analysts review and

approve records retention schedules and subsequent requests for records disposition submitted by state and local agencies. During Fiscal Year 1998-99, program staff reviewed requests for 570 records retention schedules and for the disposition of 38,250 records. The bureau also provides training on records management, records schedules, disposition, and record archives in scheduled workshops around the state and at special request from a specific organization. In Fiscal Year 1998-99, program staff provided 17 workshops for 886 attendees.

In addition, the bureau provides technical assistance services. These include daily assistance by telephone, comparable to a records management 'hotline', and site visits to provide hands-on assistance in developing retention schedules for agency records. The bureau also provides full consulting services, such as conducting lengthy records management program reviews for state and local agencies on a fee-for-service basis. For example, in Fiscal Year 1997-98, program staff provided consulting services to the Town of Callahan, which had received a grant to implement a formal records management program in line with state statutes. Bureau consultants worked on site at Callahan and developed a report which included an evaluation of the current conditions of the town's records management program, recommendations for improvement, file management guidelines, and a sample records management policies and procedures manual for Callahan.

The Florida Records Storage Center provides state and local government agencies low-cost storage and disposal of inactive records, security microfilm and magnetic tape storage, as well as document imaging services. The Florida Records Storage Center has a storage capacity of 245,000 cubic feet as well as two climate controlled secure vaults for microfilm and magnetic media. In Fiscal Year 1998-99, center staff stored more than 230,000 cubic feet of records, and performed a monthly average of 192 record pickups, 2,704 record retrievals and deliveries, and 2,086 record retrieval pickups and refiles. The Records Center uses eight staff to provide records pickup and retrieval for state and local government organizations located in the Tallahassee area. Agencies storing records at the center must pay monthly fees and have approved retention and disposition schedules for their records.

The Records Center operates a microfilm section that provides support to the archival and records management programs of the bureau and micrographic services to state government agencies. The center has 14 technical services staff and is producing an average of 12,873,212 microforms per month in Fiscal Year 1998-99. The bureau microfilms original state government records and has the capacity to record computer generated information directly onto microfilm. The Records Center also provides secure microfilm and electronic media storage in a climate-controlled vault, which can be retrieved by an agency in the event of an emergency or disaster.

The bureau coordinates agency records support activities through the statutorily required agency Records Management Liaison Officers. Generally, the agency liaison officer provides a central agency office to process all requests for records disposal through the bureau and is often responsible for organizing records management practices within an agency. The Records Management Liaison Officer will also coordinate development of retention schedules for agency records with the bureau.

Program Performance

As noted in OPPAGA's *PB² Performance Report on the Library, Archives, and Information Program*, overall performance in records management improved over Fiscal Year 1996-97, despite the diminished demand for micrographics services due to technological developments in state agencies. This assessment was based on a few output measures included in the program's PB² measurement set that could be used to assess performance. In this review, we identified several additional indicators that demonstrate the positive performance of the Records Center staff.

Good management practices used to provide high level of service

Records Center staff are able to attain a high level of customer satisfaction through the use of good management practices that respond both to specific customer needs and the center's small staff. Bureau management has prioritized the Records Center services to utilize its limited staff and resources. First priority is assigned to its records retrieval service, which includes finding the file or record requested, pulling it, and delivering it directly to the agency customer within 24 hours. Program management has identified this as their first priority because they believe that customers' work progress may be held up unless their records are retrieved as fast as possible. As indicated in Exhibit 5-1, our review of a sample of retrieval requests for the past three years indicates the center is retrieving agency records in a timely manner. Picking up agency records for storage at the Records Center is provided as a customer service based on individual agency needs. The general turnaround time is a 'negotiated' two-week lead-time, due to the continuous variation in agency circumstances.

Davis Award earned for support provided to state's tobacco litigation

The Records Center's ability to timely locate and retrieve needed documents earned it a Davis Productivity Award during Florida's tobacco litigation. In August 1997, tobacco litigants extensively researched tobacco use, sale, and production using state agency records stored in the Records Center. The ability of Records Center staff to efficiently store, manage, identify, and locate hundreds of thousands of cubic feet of state agency records made it possible to effectively fill requests for documents by litigants, as well as fulfill its critical mission of ready access to essential evidence.

Exhibit 5-1
The Records Center Retrieves Records in a Timely Manner

Service	Fiscal Year 1996-97	Fiscal Year 1997-98	Fiscal Year 1998-99 [1]
Record pickups	1,711	1,894	2,104
Record retrievals	55,447	40,494	29,738
Percentage of record retrievals delivered timely	100%	95%	100%
Record retrievals picked up and re-filed	45,089	23,790	22,943
Boxes in records storage	208,680	228,074	234,944
Microfilm production	240,909,572	153,852,656	141,605,336

[1] Through May 30, 1999.

Source: Department of State Library, Archives, and Information Program.

Customer satisfaction high based on OPPAGA survey and new program customer satisfaction survey

Customer satisfaction with the Records Center also indicates strong performance. An OPPAGA survey of 22 of 26 state agency Records Management Liaison Officers indicated a high level of satisfaction with Records Center services. Of the state agency liaison officers surveyed, 17 have attended the records management workshop training provided by program staff and 82% of these stated that the training was very good or good. The liaison officers also indicated that special requests for individualized agency-specific training frequently follow attendance at training sessions. Program staff provided records management technical assistance services to 21 of the agency liaison officers and, of these, 81% rated the services as very good or good. The bureau has developed a customer survey of records management training services to support its PB²performance measures in Fiscal Year 1998-99. Initial results of the survey indicate that 97% of the state or local agency attendees rated the records management training as excellent or good.

Although the Records Center has had a positive impact on records management in the state, we identified several areas where improvements can be made to further its success.

The Records Disposition Process Needs Changes to Improve Effectiveness and Efficiency

Records management is decentralized to state agencies

Records management responsibilities are statutorily placed upon the agencies in ch. 119 and s. 257.36, F.S. Each agency must designate a records management liaison officer as well as establish and maintain an active and continuing program for the economical and efficient management of records. Insofar as practicable, agencies are to keep vital, permanent, or archival records in a safe place and to arrange records to be

easily accessible for convenient public use. Agencies are required to submit to the Division of Library and Information Services a list or schedule of records in its custody that are not needed in the transaction of current business and that do not have sufficient administrative, legal, or fiscal significance to warrant further retention by the agency. Each agency must also establish a program for the disposal of these records in accordance with retention schedules established by the division and must obtain approval of the division to destroy or dispose of any record.

Lack of good records management practices causes variety of problems in state agencies

Some state government agencies have not developed or implemented good records management practices. Good records management practices include such activities as records inventories or reviews of records holdings, the organization of records, trained records coordinators, retention schedules assigned to records, and the regular destruction of unneeded records according to their approved schedules to prevent the growth of large, costly warehouses of obsolete records. OPPAGA's survey of 22 state agency Records Management Liaison Officers indicated that at least 12 of the state agencies have records problems which may cause them to be in noncompliance with state records management laws.

In some agencies, the absence of good records management practices has caused records problems. For example, the practice of warehousing inactive records that have not been inventoried, cataloged, or scheduled for retention and destruction results in the inefficient permanent storage of inactive records that may be eligible for destruction. The risk also exists that records may be destroyed or disposed of prematurely or illegally.

In other agencies, not fully implementing good records management practices has caused problems. For example, although several state agencies have recently developed acceptable records practices, these practices have not been implemented agency wide. Other state agencies are decentralized and not all field offices are following their internal agency records management procedures for categorizing, scheduling, and disposing of records. Both conditions have resulted in unmanaged holdings of inactive records. In addition, several agencies' poor records management practices have resulted in the storage of old, inactive, unscheduled records. Liaison officers reported that although new records are being properly scheduled and managed, their agencies have old records stored in district warehouses that are not inventoried or scheduled for disposition, which may result in their being stored indefinitely. Finally, several liaison officers reported that, although records have been scheduled for disposition, they are being kept for several years past their destruction dates, creating unnecessary storage costs.

No controls exist to ensure compliance with records management laws

Currently, no controls exist to ensure state agency compliance with state records management laws. Although all agencies have statutorily required records management liaison officers, many of them have little authority to ensure agency compliance. The program is required to support and approve the retention and destruction of records, but it has no enforcement power to ensure agencies submit retention and destruction schedules or to require effective management practices, such as inventories, reviews, and proper storage facilities. In addition, because program staff interpret state law to allow them to evaluate agency records management practices only when requested to do so, there is limited opportunity for program staff to evaluate whether agency records management practices are compliant with state law or to identify best practices.

The records disposition process is inefficient and ineffective

Further, the records disposition process established by the bureau is time consuming and ineffective. Currently, bureau staff conduct an extensive review of and approve records retention schedules submitted by agencies. A final paper review and approval of records disposition requests is also required before agencies are allowed to dispose of any records. During Fiscal Year 1997-98, less than 1% of the final records disposition requests were denied by program staff for reasons other than technical errors.[20] According to internal documents, the records retention schedules approved by the bureau are sufficient justification for the disposition process to take place, and requiring the subsequent process of submitting and approving records disposition requests imposes a heavy clerical burden on both agency and bureau staff. Program documents estimate that bureau staff spend between 50% and 75% of their time processing records disposition requests or answering questions related to their completion. In addition the process does not ensure that all agencies are in compliance with state records management laws.

Changes are needed to the records disposition process

To ensure that state agency management practices facilitate compliance with state records management laws in the most efficient and economical manner, the program should eliminate the time-consuming and redundant process of reviewing and approving records destruction requests submitted by agencies. The program should replace the current process with a less paper-intensive process that enables agencies to initiate appropriate disposition practices. This would require that the purely administrative process of creating and reviewing disposition forms be delegated to agencies, which should be allowed to take disposition action based on the records retention schedules previously approved by bureau staff. Once the records retention schedule is approved by the program, the final destruction request can be reviewed and approved

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[20] In Fiscal Year 1997-98, the bureau received 6,300 disposition approval requests and denied 60. Agency staff report approximately 20% of the submitted requests were amended over the telephone for technical errors, such as the miscalculation of the date of destruction, which would have otherwise been denied to prevent records from being destroyed prematurely.

internally by the agencies' records management liaison officers and respective inspector generals or general counsels.

Change would allow program staff to focus on improving state agency records management practices

This alternative would allow the program to leverage the expertise of bureau staff to identify and evaluate problems and provide training on best practices involved with the administration of the state's records management program. Eliminating the review and approval of records destruction requests would free bureau staff to develop and implement a performance based monitoring program that allows agency compliance to be evaluated and reported. Bureau staff should use their time to conduct on-site reviews of the condition of public records in agencies and evaluate whether agency records management practices are compliant with state law. Bureau staff should notify agency records management liaison officers and, when necessary, state agency heads of their non-compliant status and advise the legislature of those state agencies that continue to be out of compliance with state laws. Best practices identified during this process should be shared with agencies that program staff have identified as having records management problems and included in program training and workshops.

Florida Statutes Need Clarification to Limit Confusion Regarding Records Scheduling

Many statutes relating to agency functions are in direct conflict with records management statutes

Many references in statute conflict with the records management statutes, rules and records scheduling terms. For example, numerous statutes use generic language to refer to records and state that a specific type of document may be destroyed by an agency or that the document is a 'permanent' record. For example, s. 18.20, F.S., authorizes the Treasurer to destroy any documents or records after they have been photographed, filed, and audited. However, this action is prohibited by ss. 257.36 and 257.37, F.S., which require approval of the destruction of public records by the Division of Library and Information Services of the Department of State. In s. 212.095(6)(d), F.S., the Department of Revenue is required to keep a 'permanent' record of a tax refund claimed and paid to each claimant. In s. 624.311, F.S., the Department of Insurance is required to "preserve in permanent form records of its proceedings, hearings, investigations, and examinations." Those uses of the term 'permanent' imply a continuous, indefinite holding of these records, which, as evidenced by their subject matter, will eventually become obsolete and unneeded for use in the conduct of current agency business. Section 119.01, F.S., generally authorizes the destruction of such records after specified periods of time. The records management rules and customary terms reserve the word 'permanent' to indicate that a document is of such enduring legal, historical, or other value to warrant its keeping in perpetuity, such as the Florida Constitution of 1868.

State and local agencies are caught between statutes directing and forbidding records destruction

These conflicting terms cause confusion when agencies are identifying schedules and making decisions for their records. For example, s. 28.32, F.S., authorizes and directs clerks of circuit courts or county sheriffs to destroy certain records. These officials would have to determine whether to follow that statute or the overall records management statute, ss. 257.36 and 257.37, F.S., requiring approval for any and all destruction of public records. Although program staff and agency records management liaison officers may agree on the destruction of a 'permanent' record, agency management will not necessarily agree due to their interpretation of the term 'permanent,' causing many records that could be disposed of to remain active.

Statutory amendments needed

To eliminate this confusion and ensure the proper disposition of records, statutory references should be made consistent. The program, in consultation with agencies, has identified statutory citations and language that require clarification and should provide this list along with suggested changes to the Legislature to facilitate the amendment process.

Recommendations

To ensure that the Legislature's intent for an efficient and economical records management program is attained, we recommend that the program eliminate the review and approval of final records destruction requests and delegate this administrative function to agencies. To ensure agency management practices facilitate compliance with state records management laws, we further recommend that the bureau initiate reviews of the condition of public records in agencies and notify agency records management liaison officers and state agency heads of instances of non-compliance. The program should include in its annual report to the Legislature a record of those state agencies that continue to remain out of compliance with state laws.

We also recommend that the program reassess its interpretation of its statutory responsibilities and authority under ch. 119 and s. 257.36, F.S., and if it continues to question its ability to evaluate agency records management practices unless invited to do so, the program should request legislative clarification as to its authority in administering the state's records management program.

To eliminate confusion regarding records scheduling, we recommend that the Legislature amend statutory language related to retention of government documents. To facilitate this process, we recommend that the Legislature direct the bureau to provide it with an updated list of suggested language and statutory citations that require clarification.

Florida State Archives ———————————

Introduction

The Florida State Archives serves as the central repository for the archives of state government and is responsible for retaining the documentary history of the state, such as the Florida Constitutions. Its purpose is to preserve and make accessible to the public the permanent historic, public and private records of Florida in its custody. The archives maintains a collection of 36,000 cubic feet of records of state and local government, as well as papers of private individuals, families, businesses, and organizations. It also administers the Florida Photographic Collection of approximately 900,000 images and a Genealogical Collection of more than 10,000 books, 200 CDs, and 15,000 microfilm rolls.

The archives primarily collects materials related to Florida state government. The archives also places special emphasis on obtaining materials for collection areas that are under documented, such as the history of women and African-Americans in Florida. Records are selected that have information quality and content and meet accepted archival appraisal criteria.

- **State Government Public Records Collection**. These records comprise the core of the Archives' collection and provide a record of state government from the territorial period, 1821, to the present.

- **Local Government Public Records Collection**. This collection includes a limited amount of materials from various county and municipal governments

- **Manuscript Collection**. This collection of non-governmental records, manuscripts and personal papers documents the lives of Florida citizens from the territorial period to the present.

- **Florida Photographic Collection**. This collection includes approximately 900,000 visual artifacts and over 2,000 movies and videotapes relating to the history and development of Florida.

- **Genealogical Collection.** This collection consists of a 10,000 volume library of genealogical reference materials.

After preservation, the State Archives' most important function is making the collection available and accessible to a wide range of patrons. To make records accessible to researchers, the records must be arranged and described. The program arranges archival records through a process of organizing the records to reveal their contents and significance. Generally, records that are not arranged according to accepted archival principles, including place of origin and original order, lose their

meaning. Following the arrangement process, archives staff develops records descriptions, which is the process of establishing administrative and intellectual control over record holdings. Archives staff determines the amount of arrangement and description activity necessary by evaluating the condition of the records when they are accepted, the importance of the information contained, and the amount of patron research activity in the collection area.

Archives staff also provide training on the State Archives to state and local government and to the general public, jointly with Records Center staff or upon special request. Archives staff also provides technical assistance to state and local government and to the general public and maintains an outreach program to promote and encourage research in Florida history.

Program Performance

As noted in OPPAGA's PB²Performance Report on the Library, Archives, and Information Program, the number of new users of the archive's reference collections increased in each of the past three years. Further performance assessment was limited due to the few measures included in the program's performance-based program budgeting measurement set that could be used to assess performance. However, in this review, we identified several additional indicators that demonstrate the positive performance of the Archives.

Good collection and accessibility methods have increased use of State Archives

Use of the State Archives has increased by 42% over the past three years, from 22,877 registered users in Fiscal Year 1996-97 to the current level of 32,384 as of April 1999. This is due in part to the bureau's use of a variety of methods to ensure that appropriate historical records are being acquired and to maximize patron accessibility to the archival collection.

- **Acquisition of Records.** All state and local record destruction requests that are received by the records management program are reviewed by archives staff to ensure that no archival quality records are destroyed. Archives staff also track obituaries to identify possible sources of archival material and notify the family of deceased ex-government figures or members of a significant Florida family that it has an interest in preserving family documents in the State Archives for use by historical researchers. This practice is done in concert with the state historical societies and photographic associations throughout the state. In the same manner, program staff will respond to significant business events related to Florida history, such as the recent acquisition of Barnett Bank by NationsBank.

- **Patron Accessibility.** A public research room, staffed by archivists who provide research and reference assistance, is provided for patron research and is open on weekdays as well as Saturdays. To assist researchers in locating collections, the bureau has developed extensive

finding aids, guides, and indexes as well as an electronic catalog that is available on the program's website. To further increase accessibility, the bureau has provided Internet access to some collections, such as the Florida Photographic Collection. Program records indicate a high level of interest in this site as 'hits' have increased from 20,574 in Fiscal Year 1997-98 to 39,846 as of April 1999.

Performance has remained high although staffing has not increased relative to workload

Although the State Archives is collecting archival records at a continuous rate, all indicators support good performance relative to the level of program resources. As archival holdings have increased, the program's resources have remained the same, causing the ability of staff to preserve and arrange these materials to diminish. Archives staff have focused their efforts on archiving the older materials and demonstrated an effective level of effort relative to staffing and resources.

Customer satisfaction with the State Archives also indicates positive performance. The bureau has developed a customer survey to support its PB²performance measures in Fiscal Year 1998-99. Initial results of this survey indicate that 98% of the patrons rated the archives services as excellent or good.

Although the archives has had a positive impact on the acquisition and accessibility of historical records, we identified several areas where improvements are needed.

Some Historical Documents Maintained by State Agencies May Be in Danger of Destruction and Should Be Actively Pursued by the Program

Valuable historical documents are being retained by agencies instead of being sent to the State Archives

State agencies are required by s. 257.35(2), F.S., to transfer records that have historical or other value to the State Archives unless the agency head certifies that the records need to be retained in the agency's custody for use in the conduct of the regular current business of the agency. However, some state agencies continue to maintain and display public documents of obvious historical value, although no certification has been sent to the Division of Library and Information Services in the Department of State.

In the past, records program management has contacted agencies that were retaining agency documents that had obvious historical value to get the records transferred to the archives. Although agencies do have a responsibility to turn over historical documents to the State Archives, if agencies are not responsive to program requests to transfer documents, program management has not actively pursued the issue. For example, during our review, we toured the Department of Environmental Protection's Land Library facility and vault and found handwritten records of historical figures such as Sam Houston and Presidents Andrew Jackson and Martin Van Buren; many of these records have been microfilmed and or scanned. While the content of these records is necessary to the Department of Environmental Protection's research of land ownership in the state, once such documents have been filmed, they should be turned over to the custody of the State Archives.[21]

Program staff stated their belief that they lack the statutory authority to require agencies to turn over records with obvious historical value that they have viewed in agency archives and document exhibitions. During our review, program staff sent letters of request to the senior management of the Department of Environmental Protection and the Department of Agriculture and Consumer Services.[22] As of June 1999, the Department of Agriculture and Consumer Services has responded with an agreement to inventory its records to identify those that are of historical or archival importance. The Department of Environmental Protection has also responded and, as of June 1999, the department has certified to the program that the historical records in the Land Library are necessary in the conduct of current agency business and will not be turned over to the State Archives. Thus, we believe that the program could successfully address the problem of agency retention of historical records by being more proactive.

The program should take action to minimize the risk to historical documents

To ensure that records that are of historical value are properly preserved and protected, program staff should work with agencies to actively search for such records and request the transfer of non-current, historical records to the State Archives. If the bureau determines that its statutory authority is insufficient and that a significant number of historical documents are at risk, it should so advise the Legislature and request clarification of legislative intent and any necessary statutory amendments.

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[21] Currently, the Department of Environmental Protection maintains these historical documents in a secure vault, which has fire protection devices. However, the holdings are not maintained by trained archivists, little or no preservation activities are being performed, and the collection is open to the public, which is allowed to handle the documents with no protective devices.

[22] Letters were sent at OPPAGA's recommendation in order to test the sufficiency of the statutes and the possible need for statutory amendments.

The Legislature Should Consider State Support to Help Ensure That Records of Historical Value Are Archived at the Local Level

State Archives has assisted local governments to obtain federal grants to preserve historical records

The Florida State Archives has supported the preservation and maintenance of records that have historical value at the local level through its work with the Florida State Historical Records Advisory Board (FSHRAB). For the past several years, the board has applied to the National Historic Publications and Records Commission for two-year grant programs. For the period 1992 through 1994, the state obtained $150,000 in federal grants with $50,000 in matching funds from the program's Records Management Trust Fund. These grants funded 23 projects at the local level, such as the Baker County Archives development, City of North Port Archives Program development, and the City of Tarpon Springs records preservation project. For the period 1995 through 1997, the state received $50,000 in unmatched federal grants which awarded non-profit organizations and local government agencies up to $5,000 to provide education and training for archivists, records managers and custodians and to assist local governments in developing records programs. The grant funded 19 educational and program development projects at the local level, such as the Micanopy Historical Society, the Boynton Beach Cultural Center, the Boynton Beach Police Department, the City of Port St. Lucie, the Town of Callahan, and the White Springs Historical Society.

However, the National Historic Publications and Records Commission will no longer fund local records and archives programs unless matching funds are provided by the state. In 1998, the FSHRAB applied for $50,000 to continue the education and training grant program for two years. The federal program only funded the grant for one year at $25,000, and advised that no additional funds would be forthcoming without state matching funds. Although the department requested $100,000 in state matching funds in its 1999-2000 Legislative Budget Request, the request was not funded by the 1999 Legislature.

State matching funds are needed to obtain federal grants to assist local governments in preserving records of historical value

To help local governments ensure that records with historical value are properly preserved and protected, the Legislature may wish to consider providing state matching funds to support local government records management and archives activities and to obtain federal grants to fund these activities. The state statutes on records management and public records can place a fiscal burden on the small rural local governments whose budget priorities are schools and police departments. The National Historic Publications and Records Commission will match state allocations for federal education and training grants dollar for dollar.

Other states provide matching funds

Many other states provide grant funds to support records management and archives programs at the local level. For example, Georgia, Maine, Vermont, Michigan, and South Carolina have appropriated funds to match National Historic Publications and Records Commission funds. Since 1996, Georgia has provided $295,000 in state funds and received $298,386 in federal funds to support 44 local level projects. In addition, Iowa, New York, Virginia, Pennsylvania, Delaware, Kentucky, North Carolina, and Missouri all have state and local government supported grant programs independent of the federal funding program.

Recommendations

To ensure that records of historical value are properly preserved and protected, we recommend that program staff work with agencies to actively search for such records and test its statutory authority by requesting the transfer of non-current, historical records to the State Archives. If the program determines that its statutory authority is insufficient and that a significant number of historical documents are at risk, we further recommend that the program request clarification of legislative intent and any necessary statutory amendments.

To ensure that the state continues to receive federal funding to support the preservation and maintenance of records that have historical value at the local level, we recommend that the Legislature consider providing state matching funds for federal education and training grants.

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Appendix A

Statutory Requirements for Program Evaluation and Justification Review

Section 11.513(3), F.S., provides that OPPAGA Program Evaluation and Justification Reviews shall address nine issue areas. Our conclusions on these issues as they relate to the Department of State's Library, Archives, and Information Program are summarized in Table A-1.

Table A-1
Summary of the Program Evaluation and Justification Review of
the Library, Archives, and Information Program

Issue	OPPAGA Conclusions
The identifiable cost of the program	In Fiscal Year 1999-00, the program was appropriated a total of $49.3 million. General revenue appropriations amounted to $41.7 million and appropriations from trust funds totaled $7.6 million.
The specific purpose of the program, as well as the specific public benefit derived therefrom	The Library, Archives, and Information Program administers federal and state grants and provides aid and assistance to public libraries, archival and records management services for government agencies, and reference and information services for state agencies, other libraries, and the general public. The program works in partnership with archivists, librarians, records managers, governmental officials, and citizens to assure access to materials and information that enable local libraries and agencies to provide effective information services for the benefit of the people of Florida.
Progress towards achieving the outputs and outcomes associated with the program	The department's Fiscal Year 1997-98 performance-based program budgeting (PB^2) measures do not sufficiently demonstrate the impact of the program due to problems with measure validity and reliability. The measures that can be used to assess program performance indicate that overall performance in records management has improved, despite the diminished demand for micrographics services. The measures also indicate that use of the state library and archives reference collections has increased, but that additions to the statewide library holdings database has slowed.
An explanation of circumstances contributing to the state agency's ability to achieve, not achieve, or exceed its projected outputs and outcomes, as defined in s. 216.011, F.S., associated with the program	Fiscal Year 1997-98 PB^2 measures that can be used to evaluate the program's Records Management activities indicate the program exceeded the standard of records approved for disposal by 31% by providing increased records management training for agencies such as FDLE, which may have stimulated the increase in disposal. Although not included in the program's Fiscal Year 1997-98 measurement set, a recent customer satisfaction survey indicates that 97% of attendees rated the records management training as excellent or good.
	During Fiscal Year 1997-98, the Records Storage Center stored 14% more records above its standard. Program staff indicated that records, which were eligible for disposal, were retained longer due to the litigation between the State of Florida and the tobacco industry. The program earned a Davis Award for its support to Florida's tobacco litigation.
	The use of computer output microfilm in agencies was 23% below the standard, during Fiscal Year 1997-98. Program staff indicate that technological advances, such as on-line access to databases and the use of compact disks, has replaced the need for microfiche use in regional offices.

Issue	OPPAGA Conclusions
	Fiscal Year 1997-98 measures that can be used to evaluate the State Library and Archives, indicate the increase in new users annually of the State Archives and of the research collection in the State Library exceeded the standard by 2%. Program staff indicate that a shift in its focus to meeting the information needs of state agencies has increased state employee knowledge and use of State Library services. Similarly, improved collection and accessibility methods have resulted in increased use of the State Archives. Although not included in the program's Fiscal Year 1997-98 measurement set, a recent customer satisfaction survey indicates that 98% of patrons rated the archives services as excellent or good. The program also earned two Davis Awards for its library and information services.
	During Fiscal Year 1997-98, additions to the statewide database of library holdings available for loan were 28% below the standard. Program management stated that no projects were funded to add library materials to the statewide union database for Fiscal Year 1997-98, because of the priority to fund the Florinet program and purchase technology for local public library access to the Internet.
	Although the program's Fiscal Year 1997-98 PB^2 measures could not be used to evaluate the program's Library Development activities, the program produced several examples of the positive impact of one of the bureau's primary library development activities, identifying and developing opportunities to enhance funding at the local level. The program's efforts in this area resulted in patron access to public library Internet technology being increased from 25% in 1993 to 97% in 1999; public libraries receiving $4.2 million in federal telecommunications discounts; and private grants valued at $10.5 million being awarded to public libraries for computers, software, training and Internet access.
Alternative courses of action that would result in administering the program more efficiently and effectively	The 1999 Legislature transferred the Division of Blind Services, which includes the Library for the Blind, from the Department of Labor and Employment Security to the Department of Education, effective January 1, 2001. To ensure the needs of blind individuals are met in an efficient and effective manner, we recommend that the Legislature consider transferring the Library for the Blind to the State Library within the Department of State during this reorganization, rather than having it remain a part of the Division of Blind Services.
	To ensure that the program can completely and accurately report to the Legislature on the use and impact of state grant funds, we recommend that the Bureau of Library Development more carefully monitor libraries' use of state grants by requiring a detailed accounting of grant expenditures. We further recommend that the bureau continue its efforts to assist local libraries in the development of outcome measures that demonstrate what is being accomplished with state grant funds.
	To ensure that the program is efficiently and effectively providing consultation services, we recommend that the Bureau of Library Development develop standard methods of tracking, documenting, and evaluating services that allow it to demonstrate that quality services are being provided consistently throughout the state. To ensure that program resources devoted to specialty areas are adding value comparable to the level of service needed, we also recommend that the bureau assess the scope of its services, identify priority specialty areas, and direct resources to developing expertise in areas identified as having the highest priority or need.
	To improve its State Library collection development process, we recommend that the Bureau of Library and Network Services solicit direct input from state agency resource providers as to agency information needs and request their active participation on its collection development teams. To ensure that it is not unnecessarily duplicating existing state agency collections, we also recommend that the bureau request and review catalogs of agency library collections.

Issue	OPPAGA Conclusions
	To ensure that the Legislature's intent for an efficient and economical records management program is attained, we recommend that the Bureau of Archives and Records Management eliminate the review and approval of final records destruction requests and delegate this administrative function to agencies. To ensure agency management practices facilitate compliance with state records management laws, we further recommend that the bureau initiate reviews of the condition of public records in agencies and notify agencies of instances of non-compliance. The program should include in its annual report to the Legislature a record of those state agencies that continue to remain out of compliance with state laws.
	To eliminate confusion regarding records scheduling, we recommend that the Legislature amend statutory language related to retention of government documents. To facilitate this process, we recommend that the Legislature direct the Bureau of Archives and Records Management to provide it with an updated list of suggested language and statutory citations that require clarification.
	To ensure that records that are of historical value are properly preserved and protected, we recommend that Bureau of Archives and Records Management staff work with agencies to actively search for such records and test the program's statutory authority by requesting the transfer of non-current, historical records to the State Archives. If the program determines that its statutory authority is insufficient and that a significant number of historical documents are at risk, we further recommend that the bureau request clarification of legislative intent and any necessary statutory amendments.
	To ensure that the state continues to receive federal funding to support the preservation and maintenance of records that have historical value at the local level, we recommend that the Legislature consider providing state matching funds for federal education and training grants.
The consequences of discontinuing the program	Two of the program's seven functions, the Florida State Archives and the Florida Collection in the State Library, are essential public services. As one of the most comprehensive collections of Floridiana in existence, the program's Florida Collection serves as a central repository of maps, books, and manuscripts that provide the historical background and record of events that influenced government decisions. Without the Florida Collection, materials recorded in the State Archives documenting the decisions of Florida's leaders would lack context and perspective. The State Archives serves as the central repository for the archives of state government and is responsible for retaining the documentary history of the state government, such as the Florida Constitutions. Without an archives, a government risks losing documentation of the original meaning and intent of its leaders' decisions. For example, the absence of a state archives resulted in the loss of Florida's first State Constitution.
	The program's five remaining functions, although not essential, provide a valuable public benefit. Administering federal grants and working with local government officials, community leaders, and librarians to aid and encourage the development of libraries are valuable functions that support the improvement and expansion of library services throughout the state. The program administers approximately $6 million in federal funds each year and has facilitated the receipt of $4.2 million in telecommunications discounts and $10.5 million in private grant awards for Florida libraries. The program's State Library, network services, and records management services benefit the public and state and local government agencies by improving the efficiency of research activities, improving accessibility to government information, and supporting the cost-effective and efficient management of records.
Determination as to public policy, which may include recommendations as to whether it would be sound public policy to continue or discontinue funding the program, either in whole or in part	In Fiscal Year 1998-99, less than 9% of the program's appropriation was used to support the essential activities of preserving and maintaining materials in the Florida Collection and State Archives. An additional 85% of the program's appropriation represented grant funds that were passed on to improve the state's local public libraries. The public benefit derived from these grants and the additional services provided by the program, as outlined above, indicate that it is sound public policy to continue funding the program.

Appendix A

Issue	OPPAGA Conclusions
Whether the information reported pursuant to s. 216.03(5), F.S., has relevance and utility for the evaluation of the program	The department's PB²measures do not sufficiently demonstrate the impact of the program. As noted in OPPAGA's *PB²Performance Report on the Library, Archives, and Information Program*, problems with measure validity and reliability limit the use of the program's PB²performance measures in assessing the impact of this program (see Appendix D). The 4 outcome measures and 11 of the 16 output measures cannot be used to measure program performance because they do not assess the results of program activities or they have data reliability problems. The remaining measures provided a limited assessment of the division's Bureau of Archives and Records Management and Bureau of Library and Network Services.
	The program's PB²measures include several informational measures describing the activities of local public libraries and the benefits they provide to their communities. These measures are not direct indicators of the program's performance, but do provide the Legislature with valuable information on the activity of public libraries throughout the state. However, due to questionable data reliability and inconsistent and frequent changes in methods for collecting and reporting data, these measures should only be considered to be estimates and may not be reliable indicators of changes in local library services over time.
	The department has proposed changes to its performance measures for Fiscal Year 1999-2000, which address some of the validity and data reliability problems of the current measures. The program has developed and implemented customer-survey-based performance measures for two of its three major organizational areas, State Library and Network Services and Archives and Records Management and needs to develop a similar customer-survey-based performance measure for the third area, Library Development. To provide measures that will represent all major program activities, the department needs to continue the development of new outcome and output measures. Recommendations for additional performance measures are discussed in Appendix D.
Whether state agency management has established control systems sufficient to ensure that performance data are maintained and supported by state agency records and accurately presented in state agency performance reports	The program needs some modification to improve the reliability of its data. The current measures relating to non-program work have data reliability problems because the measures depend on data from outside sources, such as the local public libraries, over which the program has no control. The development of new measures that are closely related to program work will permit the program to develop new data collection procedures that are valid and reliable. Also, the program needs to modify the data collection methods relating to the usage of research collections because some data collection procedures were not feasible, accurate and consistent. The program has improved the reliability of its data by adjusting standards to be more realistic and improving the consistency of methods of data collection as recommended by the department's inspector general.

Response from the Department of State

In accordance with the provisions of s. 11.45(7)(d), F.S., a draft of our report was submitted to the Secretary of State for her review and response.

The Secretary of State's written response is reprinted herein beginning on page 50.

Appendix B

FLORIDA DEPARTMENT OF STATE
Katherine Harris
Secretary of State

July 29, 1999

Mr. John W. Turcotte
Director
Office of Program Policy Analysis
  and Government Accountability
Post Office Box 1735
Tallahassee, Florida 32302

Dear Mr. Turcotte:

Thank you for the opportunity to review and comment on the findings and recommendations of the Office of Program Policy Analysis and Government Accountability (OPPAGA) Justification Review of the Department's Library, Archives, and Information Program.

We appreciate the recommendations and suggestions provided in the report, and are particularly pleased with the designation of two functional areas as essential public services and the remaining five functional areas as providing valuable public benefit. All of the recommendations and suggestions will be studied and implemented where feasible.

We are desirous of continuing an outstanding program of service to the people of Florida through the Library, Archives, and Information Program. The Justification Review and recommendations will aid us in this effort.

Yours truly,

Katherine Harris
Secretary of State

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