SAO Public Records Request (PRR) Survey

Introduction

Welcome. On behalf of the Washington State Auditor's Office (SAO) and the project team comprised of BERK Consulting and MRSC, thank you for taking the time to assist us with this data collection effort related to the Public Records Act.

As you may know, this year the Legislature directed the State Auditor's Office to conduct a study to establish an accurate cost estimate for providing paper and electronic copies of records in response to public records requests. This survey is designed to collect relevant Public Records Act request information from all public entities in Washington, including local governments (e.g., cities, towns, counties, school districts, special purpose districts, etc.) and state agencies (e.g., agencies, boards, commissions, colleges and universities). Your input is important. We encourage you to complete this survey even if your entity receives few or no public records requests. By responding to the survey, your agency will help the State Auditor's Office provide relevant information to the Legislature about public records requests and the impact on public entities. For more information about this study, visit the SAO's Public Records study website here.

The following are some important points about this survey:

- **Please do not forward the survey to others for response.** This survey is intended for the Public Records Officer (PRO) or specific staff your entity has otherwise designated as the appropriate person to respond to this survey. If you do not coordinate responses to public records requests for your entire entity or have not been designated by your entity to respond to this survey, please email us at PRRStudy@berkconsulting.com with the names, titles, and e-mail addresses of those that do. For example: we may have sent this survey to a PRO at a county that coordinates all county requests except the Sheriff's Office. That PRO would e-mail us with the appropriate contact at the Sheriff's Office. Please DO NOT forward the survey link to others in your entity or elsewhere, as it is tied to your e-mail address.
- We would like to receive actual data if your entity tracks public records requests received and associated costs. If you do not track this information, please provide your best estimate. The survey includes a worksheet that you may find helpful in estimating costs.
- **You may leave the survey and come back to it later, or return to previous questions to modify your answers.** However, once you click "Done" at the end of the survey, you will not be able to go back and modify your answers. Please answer the questions to the best of your ability. Depending on the complexity of your entity and the extent to which it tracks public records request information, you may need to spend time researching your answers or consulting with colleagues. If you would like to view survey questions before starting the online survey, you can download the PDF version from this link, or from the SAO's Public Records Study website.
- **The survey employs skip logic.** For some key questions, you will be directed to different paths within the survey, depending on whether you answer "yes" or "no." These points are indicated within the survey.
- **This survey and the information that you provide is not confidential and is subject to public records requests.**
- **The survey will be open between November 3 and December 8, 2015.**

If you have any questions about the survey, please e-mail PRRStudy@berkconsulting.com or contact staff at BERK directly:

- Vivien Savath (206) 493-2375, or
- Natasha Fedo (206) 493-2382

SAO Public Records Request (PRR) Survey

Section A: Identification

* A1. Please enter the full name of the government agency you represent.

[In this section and in the rest of the survey, the term "agency" refers to all local governments (e.g., cities, towns, counties, school districts, special purpose districts, etc.) and all state agencies (e.g., agencies, boards, commissions, colleges and universities) subject to the Public Records Act.]

[   ]

* A2. Please indicate whether you will be providing a response for your entire agency, or a subpart of your agency. In this section and in the rest of the survey, the term "subpart(s)" refers to department(s), office(s), division(s), or other parts of your agency.

[Our aim is to collect complete information from each agency in Washington State. This survey is intended for the Public Records Officer (PRO) or specific staff your agency has otherwise designated as the appropriate person to respond to this survey. If you do not coordinate responses to public records requests for your entire agency or have not been designated by your agency to respond to this survey, please email us at PRRStudy@berkconsulting.com with the appropriate names, titles, and e-mail addresses. For example: we may have sent this survey to a PRO at a county that coordinates all county requests except the Sheriff's Office. That PRO would email us with the appropriate contact at the Sheriff's Office. Please DO NOT forward the link to others in your agency or elsewhere.]

◯ Entire agency

◯ Specific subpart of an agency (e.g., department(s), office(s), division(s), or other)

◯ Everything but specific subpart(s) of an agency

Section A: Identification

* A3i. Please name the specific subpart(s) of your agency for which you are responding.

[   ]

Section A: Identification

* A3ii. Please name any specific subpart(s) of your agency that will be excluded from your response.

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[                                    ]
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SAO Public Records Request (PRR) Survey

Section A: Identification

* A4. What is the annual operating budget of your agency?

   [Please provide the budget for the entire agency, <u>unless</u> you are responding for specific subpart(s) of your agency, in which case, please provide the operating budget only for the specific subpart(s)]

   ☐

* A5. How many full-time equivalent staff (FTE) does your agency currently employ?

   [Please provide the FTE count for the entire agency, <u>unless</u> you are responding for a specific subpart(s) of your agency, in which case, please provide the number of FTEs only for the specific subpart(s)]

   ☐

* A6. We are gathering information on the volume of public records requests that your agency has received and the costs it has incurred in fulfilling these requests over at least <u>the most recent full year for which you have information available</u> (unless otherwise noted). Please select the timeframe that you will use for your responses.

   ○ January 1, 2014 to December 31, 2014

   ○ July 1, 2013 to June 30, 2014

   ○ July 1, 2014 to June 30, 2015

   ○ September 1, 2013 to August 31, 2014

   ○ September 1, 2014 to August 31, 2015

   ○ Other (please specify)

   ☐

* A7. Has your agency or subpart(s) of your agency received ANY public records requests in the last five years?

   ○ Yes   If yes, continue to Section B

   ○ No   If no, skip to Section F

   For the remaining questions, the term "agency" will refer to your answers in A2 and A3.

SAO Public Records Request (PRR) Survey

Section B: Public Records Requests Volume

* B0. Does your agency have information available on the <u>number</u> of public records requests received?

*[Selecting "yes" will take you to questions related to the information on the **actual** number of public records requests your agency received. Selecting "no" will take you through a series of questions that ask you to **estimate** the number of public records requests your agency received.]*

◯ Yes   If yes, continue to Question B1

◯ No   If no, skip to Section BA

SAO Public Records Request (PRR) Survey

Section B: Public Records Requests Volume

The next series of questions asks about the number of **Public Records Act (PRA) requests** your agency received. The aim of these questions is to capture information about records requests that agencies are required to fulfill under the Public Records Act. Please **do not include** information related to records requests that are submitted to the agency based on non-PRA legal requirements (e.g., discovery requests, certain union records, certain child welfare records).

* B1. For the most recent full year available, what was the total number of public records requests your agency <u>received</u>?
[Please include all requests received, inclusive of those abandoned or unable to be fulfilled.]

* B2. If you have information for past years or partial data for 2015, please indicate how many total public records requests your agency received for each of those years. Please use the same timeframe definition for the year as you selected in your answer to Question A6.
[Please enter N/A if data is not available for a specific year.]

* **2011**

* **2012**

* **2013**

* **2014**

* **2015**

Section B: Public Requests Requests Volume

* B3. Are there types of requests that are not included in the total number you provided in Question B1?
[E.g., PRA requests that were not opened as a public records request; inquiries met by sending requesters a link to your agency's website; insurance requests; etc.]

◯ Yes   If yes, continue to Question B4

◯ No   If no, skip to Question B5

SAO Public Records Request (PRR) Survey

Section B: Public Requests Requests Volume

* B4. What types of requests are excluded from the data your agency collects on the total number of public records requests received? Please select all that apply.

☐ PRA requests that were not opened as a public records request

☐ Inquiries met by sending requesters a link to your agency's website

☐ Insurance requests

☐ Requests that take less than a specified amount of time to respond to

☐ Requests submitted by walk-in customers that your agency immediately responds to at a customer service counter

☐ Other (please specify)

Section B: Public Requests Requests Volume

* B5. Please select which of the following best describes the information you can provide on the number of public records requests your agency received that were <u>abandoned</u> by requesters?

[Requests are considered abandoned if, at any point, the requester either withdraws the request, fails to respond to a request for clarification, fails to inspect the records, fails to pay the deposit or final payment for the requested copies, or fails to collect the copies.]

○ Our agency had no abandoned requests in the most recent full year   Go to B6

○ Our agency has information on the number of requests abandoned in the most recent full year   Go to B5i

○ Based on available data, our agency can estimate the percentage of requests abandoned in the most recent full year

Go to B5ii

○ Our agency does not have data available data on the number of abandoned requests Go to B6

Section B: Public Requests Requests Volume

* B5i. Over the most recent full year, how many public records requests received were abandoned by requesters?

[Requests are considered abandoned if, at any point, the requester either withdraws the request, fails to respond to a request for clarification, fails to inspect the records, fails to pay the deposit or final payment for the requested copies, or fails to collect the copies.]

Section B: Public Requests Requests Volume

* B5ii. Over the most recent full year, what <u>percent</u> of the total public records requests received do you estimate were abandoned by requesters?

[Requests are considered abandoned if, at any point, the requester either withdraws the request, fails to respond to a request for clarification, fails to inspect the records, fails to pay the deposit or final payment for the requested copies, or fails to collect the copies.]

Section B: Public Requests Requests Volume

* B6. Does your agency assign public records requests to distinct categories for tracking purposes?

[E.g., some agencies define several categories of requests based on complexity, need for coordination with other parts of the agency, nature of records involved, type of requester, etc.]

○ Yes   If yes, continue to Question B7

                  If no, skip to Section C

○ No

Section B: Public Requests Requests Volume

B7. What are the main ways in which your agency categorizes public records requests for tracking purposes?

[E.g., "Category 1: Specific requests that take two hours or less to complete," and/or "Requester type: attorneys," and/or "Request type: client records." We recognize that you may classify requests into overlapping categories and we may follow up with you later to better understand your system.]

Please use the textboxes to describe specific categories used. If there are more than 10 categories used, please enter the 10 with the highest number of requests in the most recent full year.

* Category 1

Category 2

Category 3

Category 4

Category 5

Category 6

Category 7

Category 8

_____

Category 9

_____

Category 10

_____

Section B: Public Records Requests Volume

B8. What was the total number of requests received in these categories in the most recent full year?
[Please enter the number in the box below the categories you entered in B7. Please leave the remaining fields blank if there were fewer than 10 categories described in the previous question.]

[Q22]

The names of the categories will be piped in from answers to Question B7

[Q23]

[Q24]

[Q25]

[Q26]

[Q27]

[Q28]

[Q29]

[Q30]

Section BA: Public Records Requests Volume Estimate

This series of questions asks you to estimate the number of public records requests your agency received.

* BA1. Please describe why your agency does not track information on the number of public records requests received.

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* BA2. In the most recent full year, how many public records requests would you estimate your agency has received?

[Please include all requests received, inclusive of those abandoned or unable to be fulfilled.]

[Enter "N/A" if you are unable to make a reasonable estimate.]

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Section BA: Public Records Requests Volume Estimate

* BA3. Are there types of requests that are not included in your estimate provided in BA2)?

(E.g., requests that can be answered by sending a link to your entity's website; insurance requests; requests that take less than 5 minutes to respond to; etc.)

   ◯ Yes   Continue to Question BA4

   ◯ No   Skip to Question BA5

   ◯ N/A   Skip to Question BA5

Section BA: Public Records Requests Volume Estimate

* BA4. What types of requests are excluded from the estimate? Please select all that apply.

☐ PRA requests that were not opened as a public records request

☐ Inquiries met by sending requesters a link to your agency's website

☐ Insurance requests

☐ Requests that take less than a specified amount of time to respond to

☐ Requests submitted by walk-in customers that your agency immediately responds to at a customer service counter

☐ Other (please specify)

[   ]

Section BA: Public Records Requests Volume Estimate

* BA5. Over the most recent full year, please estimate how many public records requests were abandoned by requesters?
  [Requests are considered abandoned if, at any point, the requester either withdraws the request, fails to respond to a request for clarification, fails to inspect the records, fails to pay the deposit or final payment for the requested copies, or fails to collect the copies.]
  [Enter "N/A" if you are unable to make a reasonable estimate.]

  [   ]

Section BA: Public Records Requests Volume Estimate

* BA6. Does your agency assign public records requests to distinct categories?

[E.g., some agencies define several categories of requests based on complexity, need for coordination with other parts of the agency, nature of records involved, etc.]

◯ Yes   If yes, continue to QuestionBA7

◯ No   If no, skip to Section C

BA7. What are the main ways in which your agency categorizes public records requests for tracking purposes?

[E.g., "Category 1: Specific requests that take two hours or less to complete," "Category 2: Require legal review," "Category 3: Request type: client records."]

[Please use the textboxes to describe specific categories used.]

Category 1

[   ]

Category 2

[   ]

Category 3

[   ]

Category 4

[   ]

Category 5

[   ]

Category 6

[   ]

Category 7

[   ]

Category 8

[   ]

Category 9

[   ]

Category 10

[   ]

Section C: Nature of Public Records Requests

The following questions ask about the nature of public records requests – e.g., the time it takes to fulfill requests, types of records produced, and types of requesters. We understand that many agencies do not specifically track information in these categories. **If you have actual data, please provide it. If you do not track this information, please provide a reasonable estimate.**

* C1. Does your agency track information about the nature of public records requests it receives and produces (e.g., time it takes to fulfill requests, types of records produced, and types of requesters)?

◯ Yes

◯ No (if no, please explain why your agency does not track this information in the comment box below)

If no, please explain why you do not track this information.

[ ]

* C2. For the most recent full year, please indicate what <u>percentage</u> of the total requests your agency <u>received</u> that were fulfilled within the following timeframes.
[Total of responses should sum to 100.]
[Please enter 100 in "Unable to estimate" if you do not have this information and are unable to make a reasonable estimate.]

Same day   [ ]

From 2 to 5 business days   [ ]

From 6 to 20 business days (one calendar month)   [ ]

From 21 business days to 120 business days (six calendar months)   [ ]

More than 120 business days (over six calendar months)   [ ]

Unable to estimate   [ ]

Other

[ ]

* C3. In the most recent full year, please estimate the <u>percentage</u> of total requests that came from the following types of requesters.

[Total of responses should sum to 100]

[Please enter 100 in "Unable to estimate" if you do not have this information and are unable to make a reasonable estimate.]

Media

Law firms

Insurance companies

Other for-profit and non-profit organizations (other than media, law firms, and insurance companies)

Government entities

Current or former employees

Persons serving a criminal sentence in a correctional facility (e.g., inmates)

Individuals (other than current or former employees, or persons serving a criminal sentence in a correctional facility)

Anonymous or requester not identifiable

Other (please specify):

Unable to estimate

Other

* C4. What <u>percentage</u> of requests in the most recent full year would you estimate came from out-of-state requesters?

[Enter "N/A" if you are unable to make a reasonable estimate.]

* C5. For the most recent full year, please indicate the percentage of requests that were fulfilled by your agency using these methods of production and delivery.

[If a request was fulfilled in multiple ways (e.g., some installments were provided via paper copies and some were provided by e-mail), select the method by which most of the records were provided in response to that request.]

[Please enter N/A if you are unable to make a reasonable estimate.]

Physical device production (e.g., DVD, CD, USB drive) (delivery via in-person pick-up or mail)

Online production and delivery (e.g., copies provided via the Box, FTP portal, or other online mechanisms)

Electronic production and e-mail delivery (e.g., copies of records attached and e-mailed to the requester, including paper copies converted to electronic format and delivered via e-mail to requester)

Paper copy production (delivery via in-person pick-up or mail)

In-person inspection of records only (no copies delivered)

Other (please specify below)

* C6. In the most recent full year, has your agency received any public records requests with the following characteristics?

[Please check all that apply.]

☐ Request was broad or vague (e.g., lacked a timeframe and/or was some form of a request for "any" and/or "all" records relating to a specific subject)

☐ Request was part of a series of requests made by one frequent requester

☐ Request involved a large number of records

☐ Request involved records not easily identifiable, located, or accessible

☐ Request required coordination among multiple subpart(s) of your agency

☐ Request required identification and/or collection of records by staff other than the Public Records Officer (PRO) or by staff in your agency for whom responding to public records requests is not one of their primary duties

☐ Request required legal review

☐ Request resulted in redaction or withholding of records

☐ Request required the purchase of specific tools or other resources to fulfill the request

☐ We did not receive any public records requests meeting any of the characteristics listed in the most recent full year

Please estimate the percentage of requests that met any of the characteristics listed above. [Enter "N/A" if you are unable to make a reasonable estimate]

☐

Section D: Costs Associated with Public Records Requests

* D0. Does your agency have information on the <u>costs</u> associated with responding to public records requests?

[Selecting "yes" will take you to a series of questions related to the information your agency collects on the cost of responding to public records requests. Selecting "no" will take you through a series of questions that ask you to estimate the costs associated with responding to public records requests.

We recognize that you may have actual figures for some types of costs, but not all. If this is the case for your agency, please select "yes" and provide actual cost information where available. You can provide reasonable estimates for costs where data is not available and you will have the opportunity to identify which figures are actual or estimated.]

○ Yes   If yes, continue to Question D1

○ No   If no, skip to Section DA

Section D: Costs Associated with Public Records Requests

Unless otherwise noted, please include cost information related to searching for records, retrieving records, reviewing records, redacting records, and otherwise preparing and making records available to PRA requesters. Do NOT include one-time expenditures in training, software, or litigation as these will be covered in Sections E and F. You may find this worksheet helpful in calculating some of the requested figures.

* D1. Which statement best describes your agency's practices regarding cost recovery related to public records requests?

○ We try to recover all costs allowable by the PRA

○ We do not pursue cost recovery for some requests or cost categories allowable by the PRA

○ We do not recover any costs related to public records requests (please explain why not in the comment box below)

If you do not recover any costs, please explain why not here.

[   ]

Section D: Costs Associated with Public Records Requests

* D2. Please describe types of requests or cost categories for which your agency does not pursue costs recoverable under the PRA (e.g., requests met immediately over the counter, requests from insurance companies, etc.), and whether there is a specific policy formalizing this practice.

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[                    ]
[                    ]
[                    ]
```

* D3. Please enter the total costs that your agency **recovered** from PRA requesters in the most recent full year for the following categories.

[[If your agency does not charge for some of these items, please enter "DO NOT CHARGE" next to that item. If your agency only has information on the total amount of reimbursement, but not reimbursements by category, include that total amount in the "Other" field to indicate you are providing a total.]

Paper copies [   ]

Copies of oversized records [   ]

Costs related to various forms of media on which records are copied, such as flash drives, DVDs, and CDs [   ]

Scanning fees [   ]

Postage and delivery [   ]

Other (specify below) [   ]

Other
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[                                              ]
```

* D4. In addition to the Public Records Officer, does your agency have any staff whose primary duties as set forth in their job description include responding to public records requests?

○ Yes

○ No

D5. Please enter the number of full-time equivalent employees (include fractions of FTEs) whose duties as set forth in their job description specifically include responding to public records requests (including Public Records Officers). E.g., a full-time staff member whose PRA-related duties comprise 50% of her time should be added as 0.5 FTE.

[Use the same timeframe definition for the year as selected in your answer to Question A6). Please enter N/A if data is not available.]

* **2011**

* **2012**

* **2013**

* **2014**

* **2015**

* D6. In the most recent full year, what was the PRA-related cost of FTEs identified in D5 (inclusive of wages, benefits, and overhead)? As mentioned above, you may find this worksheet helpful.

* D7. Does your agency track staff time spent on responding to public records requests by activity (e.g., searching for records, retrieving records, reviewing records, redacting records, and otherwise preparing and making records available to PRA requesters)?

○ Yes

○ No

* D8. For the most recent full year, please enter costs for each of the following categories. These costs are <u>in addition to</u> those included in D3 and D6. Please enter the **costs your agency incurred in responding to PRA requests** (including costs that were recovered from requesters, as well as costs that were incurred, but not recovered).

[Please enter N/A if data is not available.]

Personnel for whom responding to public records requests is **not** an explicit part of their job description, but is a significant obligation (wages, benefits, and overhead) ([this worksheet](#) can be helpful to determine such costs):

Supplies

External services (e.g. large format printing) other than those included in D3

Mailing costs other than those included in D3

Recurring software licensing and upgrades

Attorney review/advice (non-litigation related)

Other (specify below):

Other

Section D: Costs Associated with Public Records Requests

D9. If you have information for past years, or partial data for 2015, please provide the **total cost your agency incurred in responding** to public records requests, including costs that were recovered from requesters, as well as costs that were incurred, but not recovered.

[Use the same timeframe definition for the year as selected in your answer to Question A6. Please enter N/A if data is not available.]

[Please include in your total all costs identified in D3, D6 and D8. If a cost is listed as N/A in D8, we will assume it is not included in the totals provided here.]

* **2011**

* **2012**

* **2013**

* **2014**

* **2015**

Section D: Costs Associated with Public Records Requests

* D10. Does your agency separately track or has it separately estimated costs associated with providing <u>electronic</u> records?

◯ Yes

◯ No (please explain why not in the comment box below)

If no, please explain

Section D: Costs Associated with Public Records Requests

* D11. How do you define electronic records for the purposes of cost tracking or study?

* D12. Please describe the known costs of providing electronic records for the most recent year. If available, please provide additional documentation (e.g., cost studies) in this upload link. Please make sure to include the name of your agency on any documentation provided.

* D13. Indicate whether you entered actual or estimated costs for questions in this section of the survey.

	Actual	Estimated	Some Actual and Some Estimated
Question D3: Costs recovered from PRA requesters	○	○	○
Question D6: PRA-related cost of FTEs identified in D5	○	○	○
Question D8: Costs that are in addition to those included in D3 and D6	○	○	○
Question D9: Total costs over time	○	○	○
Question D12. Costs of providing electronic records	○	○	○

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Section DA: Estimated Costs Associated with Public Records Requests

These questions and **the accompanying worksheet** are designed to help you estimate cost information related to searching for records, retrieving records, reviewing records, redacting records, and otherwise preparing and making records available to PRA requesters. DO NOT include one-time expenditures in training, software, or litigation as these will be covered in Sections E & F.

For questions DA6 through DA8, we recommend that you use **this worksheet** to estimate the costs. Please enter the results from the cells highlighted in **green (Cells C5-C7)**. If you choose not to use the worksheet, please consider a similar methodology as described in the worksheet to answer questions DA6 through DA8. This methodology is straightforward and will assist you in providing reasonable estimates for this survey. You do not need to send us the worksheet, however, you can use **this upload link** if you decide you would like to share the spreadsheet so that we can understand the details.

* DA1. Please describe why your agency does not track information on costs associated with responding to public records requests.

[text box]

* DA2. Which statement best describes your practices regarding cost recovery related to public records requests?

○ We try to recover all costs allowable by the PRA   Skip to Question DA4

○ We do not pursue cost recovery for <u>some</u> requests or cost categories   Continue to Question DA3

○ We do not recover any costs related to public records requests (please explain why not in the comment box below)

Comment and skip to Question DA6

If you do not recover any costs, please explain why not here.

[text box]

Section DA: Estimated Costs Associated with Public Records Requests

* DA3. Please describe types of requests or cost categories for which your agency does not pursue costs recoverable under the PRA (e.g., requests met immediately over the counter, requests from insurance companies, requests met via a web link, other), and whether there is a specific policy formalizing this practice.

> [text box]

* DA4. For the most recent full year, please enter the total costs that your agency **recovered** from PRA requesters. These are costs that the PRA authorizes your agency to recover. If you don't have the actual number, please provide an estimate.
  [Please enter N/A if you are unable to make a reasonable estimate.]

> [text box]

* DA5. Indicate whether you entered actual or estimated costs for you answer in DA4 above.

  ◯ Actual

  ◯ Estimated

  ◯ Answered N/A

SAO Public Records Request (PRR) Survey

Section DA: Estimated Costs Associated with Public Records Requests

* DA6. For the most recent full year, please estimate the cost (wages, benefits, and overhead) associated with responding to public records requests of Public Records Officers and other staff whose duties as set forth in their job description specifically include responding to public records requests. Use the value from **green cell C5** if you are using the estimation worksheet.

   [Please include the relevant portion of wages, benefits, and overhead of designated staff as described above. The relevant portion is the portion that relates to responding to PRA requests (including collecting, reviewing, redacting, and providing records).]

   [Please enter N/A if you are unable to make a reasonable estimate.]

   [   ]

* DA7. For the most recent full year, please estimate the cost (wages, benefits, and overhead) associated with responding to public records requests of personnel for whom responding to public records requests is **not** one of the explicit job duties in their job description. Use the value from from **green cell C6** if you are using the estimation worksheet.

   [Please include the relevant portion of wages, benefits, and overhead of non-designated staff as described above. The relevant portion is the portion that relates to responding to PRA requests (including collecting, reviewing, redacting, and providing records).]

   [Please enter N/A if you are unable to make a reasonable estimate.]

   [   ]

* DA8. For the most recent full year, please estimate the **total cost of supplies and services** related to responding to public records requests, including costs that were charged to requesters and costs that were incurred, but not charged. Use the value from green cell **green cell C7** if you are using the estimation worksheet.

   [Please include costs related to supplies; external services (such as Kinkos); recurring software licensing; non-litigation attorney review/advice not included in staff costs above (DA6 & DA7); etc.]

   [Please enter N/A if you are unable to make a reasonable estimate.]

   [   ]

Section E. Capital or One-Time Expenditures Related to Public Records Requests

The following questions focus on capital or one-time (not ongoing) expenditures related to responding to public records requests that your agency incurred within the last five years.

* E1. Within the last five years, which of the following expenditures has your agency incurred to help manage and respond to public records requests?

[Please do not include expenditures that benefit broader purposes (i.e., non-PRA compliance related expenditures or data retention software that serves a variety of departments and retains records for purposes other than PRA compliance), even if they are also used for PRA compliance.]

- ☐ E-mail searching software
- ☐ Public records software (e.g., GovQA, WebQA)
- ☐ Records management software (e.g., Veritas Vault, Smarsh)
- ☐ Redaction software (e.g., Redact-It, Rapid Redact, Redax)
- ☐ Dedicated/specialized server
- ☐ Specialized equipment (e.g., paraben sticks)
- ☐ None of these
- ☐ I don't know
- ☐ Other (please specify)

* E2. Please provide the total capital or one-time (not ongoing) cost of the expenditures indicated in E1.

[Please do not include ongoing software license fees which were already asked about in Section D or DA. Enter N/A if this information is not available.]

* E3. Indicate whether you entered actual or estimated total capital or one-time (not ongoing) cost in E2.

- ○ Actual
- ○ Estimated
- ○ Answered N/A

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E4. Please share any observations on the effectiveness or benefit of these expenditures, if any; as well as any customizations you have made (redaction codes, text parts, document templates).
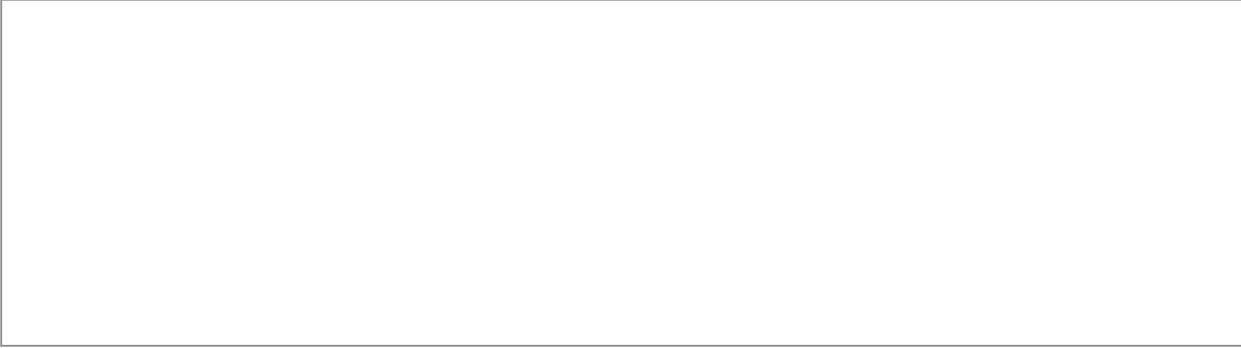
Section F. Costs of Litigation Related to Public Records Requests

The following questions focus on expenditures for litigation and legal settlement payments related to public records requests that your agency incurred within the last five years.

* F1. Was your agency involved in litigation and/or legal settlements related to public records requests within the last five years?

○ Yes   If yes, continue to Question F2

○ No   If no, skip to Section G

Section F. Costs of Litigation Related to Public Records Requests

* F2. For the most recent full year, please enter totals for the following categories of costs **incurred** related to PRA lawsuits and/or legal settlements.

[Enter "0" if no costs were incurred in that category. Enter "N/A" if information is not available.]

Costs for agency staff attorney(s), paralegal(s), and legal assistant(s) ☐

Costs for non-agency attorney(s), paralegal(s), and legal assistant(s) ☐

Court-ordered penalties ☐

Court-ordered opposing counsel attorney fees ☐

Court costs (e.g., filing fees, service of process) ☐

Legal settlements ☐

* F3. Indicate whether you entered actual or estimated costs related to PRA lawsuits and/or legal settlements in F2.

	Actual	Estimated	Answered N/A
Costs for agency staff attorney(s), paralegal(s), and legal assistant(s)	○	○	○
Costs for non-agency attorney(s), paralegal(s), and legal assistant(s)	○	○	○
Court-ordered penalties	○	○	○
Court-ordered opposing counsel attorney fees	○	○	○
Court costs (e.g., filing fees, service of process)	○	○	○
Legal settlements	○	○	○

Section G: Practices for Managing and Responding to Public Records Requests

The following questions focus on your agency's practices and policies related to public records requests.

* G1. Which of the following practices does your agency employ in managing and responding to public records requests?

[Please check all that apply.]

☐ Budgeting for costs that the PRA allows agencies to charge to PRA requesters

☐ Budgeting for actual costs that the PRA doesn't allow agencies to charge to PRA requesters

☐ Staff training related to PRA compliance

☐ Migrating records to publicly accessible locations

☐ Using an electronic data or content management system (CMS/ECM)

☐ Using a web portal or secure file transfer to display public records requests and/or make records available

☐ None of these

☐ Other (please specify)

* G2. If your agency budgets for costs related to public record requests, please share your total budgeted amount for the current fiscal year.
[Enter N/A if this information is not available.]

Budgeting for costs that the PRA allows agencies to charge to PRA requesters:

Budgeting for actual costs that the PRA does not allow agencies to charge to PRA requesters:

G3. Please describe the costs included in your budgeted numbers.
[e.g., salaries, benefits, and overhead of Public Records Officers (PROs) and staff for whom responding to public records requests is one of their primary duties; supplies; etc.]
[Enter N/A if this information is not available.]

Budgeting for costs that the PRA allows agencies to charge to PRA requesters:

Budgeting for actual costs that the PRA does not allow agencies to charge to PRA requesters:

Section G: Practices for Managing and Responding to Public Records Requests

* G4. Does your agency have policies or defined processes or procedures in place to address any of the following aspects of responding to public records requests?
[Please check all that apply.]

☐ Standard communications/information to be provided to the requester

☐ Method for estimating time period for response based on nature of request

☐ Definition of when a request can be considered abandoned and/or closed

☐ Defined period of time electronic information is available on a FTP or portal

☐ Definition of a maximum or reasonable number of hours to allocate to responding to public records requests within a defined time-frame

☐ Tracking volume of requests

☐ Tracking costs of fulfilling requests

☐ Prioritizing the order of requests to be fulfilled/managing request queues

☐ None of these

☐ Other (please specify)

[   ]

Section H: Perceptions and Trends in Public Records Requests

The following questions focus on your perception of trends over the past five years.

* H1. Over the last five years, what trends have you seen at your agency with respect to public records requests?

	Increase	Decrease	No significant change	Don't know
Total number of PRA requests	○	○	○	○
Average size of records produced in response to requests (by number of pages or MB/GB of data)	○	○	○	○
Frequency of PRA requests in general	○	○	○	○
Frequency of PRA requests from individual requesters (repeat requesters)	○	○	○	○
Number of anonymous requesters (does not provide name)	○	○	○	○
Number of requesters asking for "any" or "all" records related to a subject matter	○	○	○	○
Number of requests for records available only in paper format	○	○	○	○
Number of requests for electronic lists/databases	○	○	○	○
Number of requests for electronic documents	○	○	○	○
Number of requests for video/audio	○	○	○	○
Number of requests for texts/e-mails/social media	○	○	○	○
Number of requests for records on non-agency computers/devices/accounts (e.g., personal computers, personal e-mail and social media accounts, personal cell phones, contractor computers)	○	○	○	○
Number of requests for which paper records are responsive to the request but the requester requests that the records be provided electronically	○	○	○	○
Number of requests abandoned	○	○	○	○

* H2. Over the last five years, what trends have you observed at your agency regarding the following costs of responding to public records requests?

	Increase	Decrease	No significant change	Don't know
Total annual costs that were charged to PRA requesters	○	○	○	○
Total annual costs that were recovered from PRA requesters	○	○	○	○
Total annual costs of responding to PRA requests that were incurred, but could not be charged to requesters	○	○	○	○
Staff costs	○	○	○	○
Cost of supplies	○	○	○	○
Legal fees (non-litigation)	○	○	○	○
Legal fees (litigation related)	○	○	○	○
Data storage costs	○	○	○	○
Other PRA-related technology costs (e.g., software, licensing)	○	○	○	○

* H3. Which statement best describes the impact of responding to public records requests relative to your agency's other government responsibilities?

○ Responding to public records requests results in excessive interference with other essential functions of the agency

○ Responding to public records requests places a burden on our agency, but does not excessively interfere with other essential functions of the agency

○ Responding to public records requests is easily accommodated along with other essential functions of the agency

* H4. Has your agency discontinued or decided not to use specific technologies because of the potential implications using such technology can have in relation to compliance with the PRA?

○ Yes (please explain below)

○ No

If yes, please explain

Section I. Closing and Thank You

* I1. Would you be interested and available to participate in a follow-up effort that may involve a more detailed data request and/or interview in the spring of 2016?

  ○ Yes

  ○ No

* I2. Would you be interested in learning more about participating in a potential time study for tracking requests over a specific time period (likely around January-February 2016)?

  ○ Yes

  ○ No

I3. This study seeks to identify existing practices in managing and tracking public records requests and associated costs, including tracking and reporting systems and policies.

If your agency has existing policies or tracking/budgeting reports to share as examples, please use this link to upload relevant files.

Thank you very much for your time and participation in the Public Records Request Study.

For further information on the overall SAO Public Records Requests Study, please visit the SAO's Public Records Study website.