PUBLIC RECORDS REVIEW

June 2020

CENTRAL FLORIDA EXPRESSWAY AUTHORITY

Internal Audit, Risk, Business & Technology Consulting

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EXECUTIVE SUMMARY

Overview and Objectives

In accordance with the fiscal year 2020 Internal Audit Plan, Internal Audit reviewed the existing policies, current processes, and procedures surrounding Central Florida Expressway Authority's ("CFX") management of public records, including electronic records management, record collection and document retention.

As a public agency, CFX is required to comply with Chapter 119 of the Florida Statutes, also known as the Florida Public Records Law. The law provides that any records made or received by any public agency in the course of its official business are available for inspection, unless specifically exempted by the Florida Legislature. Public records include all documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, data processing software or other material, regardless of physical form, characteristics, or means of transmission, made or received pursuant to law or ordinance or in connection with the transaction of official business by CFX.

The CFX Records Management department consists of a Records Management Specialist, Sr. Records Clerk, and a Director of Records Management, who also serves as the agency's Records Management Liaison Officer (RMLO) with Florida's Division of Library and Information Services. CFX selects Record Coordinators within each department to work with Records Management. The Records Management function and Record Coordinators are jointly responsible for maintenance, retention, preservation, and destruction of public records as required by the Public Records Law. CFX manages public records in various forms, including paper records, electronic documents, electronic mail (email), and text messages. CFX utilizes a commercial offsite storage vendor to store physical records boxes and leverages the vendor's web-based portal to track the contents of the offsite boxes. CFX uses a combination of the offsite storage vendor and a shredding vendor for public records destruction for records that have met retention requirements. CFX is in the process of implementing a new content management platform, Hyland OnBase, that will serve as the master repository for long-term and permanent public records.

This review focused on CFX's records and information management processes and the four cornerstones of a sustainable information governance program:

1. Compliance with internal policies and procedures and Florida statutory requirements;
2. Operational efficiencies to minimize disruptions to business operations and improve ways to create, use and dispose of data;
3. Cost savings from practical solutions that reduce storage and retrieval costs, as well as requirements for responding to public record requests, investigations, litigation or regulatory requests; and
4. Defensible processes in routine business operations that allow organizations to demonstrate reasonable and good faith efforts when challenged.

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EXECUTIVE SUMMARY

Project Scope and Approach

As part of this review, Internal Audit:

➢ Reviewed CFX's public records policies, processes, and procedures surrounding custodial requirements, maintenance, preservation, retention, exemptions, destruction of public records, and employee training and awareness;

➢ Documented key risks and controls;

➢ Evaluated the design and operating effectiveness of key controls; and

➢ Reviewed existing tools and technology used to store, monitor, retrieve, and control electronic records and communications.

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