BRIEFING REPORT: 2021 Public Records Reporting

January 2023

Executive Summary

Statute requires agencies to report data about public records activities

The 2017 Legislature passed <u>RCW 40.14.026</u>, requiring state, local, and other government agencies subject to the Public Records Act to report information about their public records activities. Agencies that spend \$100,000 or more on public records requests in the prior fiscal year must submit data for 15 statutory performance metrics. Agencies that spend less may report data voluntarily. Each agency is responsible for determining if they meet the \$100,000 expenditure threshold.

See Section 1 for more detail about the reporting process.

JLARC staff directed to collect and report data from agencies

Statute directs the Joint Legislative Audit and Review Committee (JLARC) staff to standardize definitions for the statutory performance metrics and collect information from agencies. JLARC staff provide guidance, definitions, and an online reporting system, but do not verify the accuracy of the data reported by agencies.

JLARC staff identified 2,452 Washington agencies subject to the Public Records Act in 2021. It is unknown how many of these agencies met the \$100,000 expenditure threshold.



215 agencies submitted data about their 2021 public records activities

A total of 735 agencies (30% of the 2,452 agencies) responded to JLARC staff. Of these, 215 reported performance metric data and 520 indicated that they were below the \$100,000 expenditure threshold and did not submit data.

Reporting rates vary by agency type. Many agencies that did not submit data may not meet the \$100,000 expenditure threshold.

Between 61% to 94% of the state, local, and higher education agencies responded to JLARC staff, with response rates varying by the type of agency. School districts and special districts had lower response rates.

Agencies that submitted performance metric data or indicated that they did not meet the \$100,000 expenditure threshold include:

- 61% of state agencies, boards, or commissions.
- 78% of cities and towns.
- 45% of county government agencies.
- 94% of higher education institutions.
- 29% of school districts/Education Service Districts (ESDs).
- 14% of special districts.
- Both chambers of the Legislature (House of Representatives and Senate).

Agencies that did not report information to JLARC staff may not have met the \$100,000 expenditure threshold and may not be required to submit data for the performance metrics. Of the 1,717 agencies that did not respond, JLARC staff found that 82% of them had annual operating expenditures of less than \$10 million. If these agencies spent up to 1% of their operating budgets on responses to public records requests, they would be under the threshold and not required to submit data.

In 2021, 215 agencies reported receiving 357,075 public records requests

The 215 agencies that submitted data to JLARC staff received 357,075 public records requests between January 1, 2021 and December 31, 2021.

Agencies reported:

- Closing 185,196 requests within five days.
- Averaging 20 days from request receipt to closure.
- Spending \$100 million responding to requests.

This report presents 2021 data in interactive dashboards, with summaries and agency-level detail for each metric. For comparison purposes, the dashboards also show data from 2020. Data from 2018 and 2019 is also available to view.

REPORTING PROCESS 1. Agencies must report public records data

State and local agencies must report data to JLARC if they spend over \$100,000 to fulfill public records requests

Statute requires agencies to report data on their public records practices

<u>RCW 40.14.026</u> requires state, local, and other government agencies subject to the <u>Public</u> <u>Records Act</u> to report data about their public records activities.

Each agency is responsible for:

- Determining if it spent \$100,000 or more on public records requests in the prior fiscal year. Agencies above this threshold are required to submit data for statutory performance metrics. Agencies below this threshold may submit data voluntarily.
- Ensuring the accuracy of its data. JLARC staff do not independently verify the information.

JLARC staff collect and report data from agencies

Statute directs JLARC staff to collect and report the data submitted by agencies. JLARC staff worked to:

- Develop and publish standard definitions for the statutory performance metrics.
- Develop an online reporting system.
- Draft guidance documents.
- Give training presentations about the reporting requirements.
- Provide phone and email support to agencies during the reporting period.

This report reflects the fifth year of reporting to JLARC

Public records data submissions are an ongoing requirement. To date, agencies have submitted data for five reporting periods:

- July 23, 2017 December 31, 2017
- January 1, 2018 December 31, 2018
- January 1, 2019 December 31, 2019
- January 1, 2020 December 31, 2020
- January 1, 2021 December 31, 2021

This report highlights data reported for 2021 activities and provides 2020 data for direct comparison. Data for 2018 and 2019 is also available on the dashboards for further comparison. Data from the first reporting period in 2017 is not included in this comparison because it reflected only a partial year of activity.

2. Reporting rates vary by agency type

Reporting rates vary by agency type. Many agencies may not meet the reporting threshold.

215 agencies submitted 2021 data and another 520 indicated they were not required to report

There is no comprehensive list of public agencies subject to the Public Records Act. JLARC staff identified 2,452 public agencies in 2021 based on information from the Municipal Research and Services Center, the State Auditor's Office, and the Office of the Code Reviser. Compared to 2020, this includes an additional 12 special districts for 2021.

Agencies reported 2021 data through JLARC's online reporting system between May 2022 and August 2022. Agencies were originally required to submit data by July 2022, but the deadline was extended to August to improve reporting compliance. JLARC staff also asked agencies to report whether they met the \$100,000 expenditure threshold.

Exhibit 2.1: For 2021, 735 agencies (30%) submitted data or indicated that they did not meet the \$100,000 expenditure threshold



Source: Information reported by public agencies.

Note: "Submitted data" includes all agencies that provided data to JLARC staff. This includes both agencies that indicated they met the \$100,000 threshold and agencies that were below the threshold but reported voluntarily.

Reporting rates vary by the type of agency

2021 response rates were highest for the Legislature, state agencies, and county governments. Reporting rates varied from 100% (Legislature) to 14% (special districts).

For this report, agencies are organized into one of three categories:

• **Submitted data:** Agencies that reported data for the performance metrics. Some agencies were required to do so because they met or exceeded the \$100,000 expenditure threshold. Others reported data voluntarily.

- Below threshold and did not submit data: Agencies that indicated they were below the \$100,000 expenditure threshold and declined to submit data voluntarily.
- No response: Agencies that did not provide any response. It is unclear how many of these agencies met the \$100,000 expenditure threshold.

Exhibit 2.2: 2021 response rates were highest for state agencies, county government, and Legislature



Source: Data reported by public agencies between 4/22 and 8/22 via JLARC's online reporting system. Both chambers of the Legislature also responded.

No response from 1,717 agencies

Of the 2,452 agencies identified in 2021, 1,717 (70%) did not provide information about their public records activities or indicate if they met the \$100,000 expenditure threshold. Many of these agencies are special districts, school districts, and educational service districts. It is likely that a large portion of these districts did not meet the \$100,000 expenditure threshold for required reporting. For example, JLARC staff found that 82% of these agencies (1,400) had annual operating expenditures of less than \$10 million. If these 1,400 agencies spent up to 1% of their operating budgets on responses to public records requests, they would be under the threshold and not required to submit data. Click the button below for more detail about agencies that did not respond to JLARC staff.

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2021 DATA A. Overview of metrics and results

Legislature identified performance metrics for agency records retention, management, and disclosure practices

<u>RCW 40.14.026</u> identifies public records performance metrics. JLARC staff annually compile reported data into interactive dashboards for each metric.

In calendar year 2021, 215 agencies reported receiving 357,075 public records requests. Agencies reported:

- Closing 185,196 requests within five days.
- Averaging 20 days from request received to closure.
- Spending \$100 million responding to requests.

View 2021 data in interactive dashboards

Agencies report data annually using an online reporting system. Agencies are responsible for the accuracy of their data. Questions about an agency's data should be directed to that agency. JLARC staff do not independently verify the information submitted.

Data reported for 2021 is organized in interactive dashboards. 2020 data is provided for direct comparison. 2018 and 2019 data is also available for further comparison. To use the dashboards:

- Click on the buttons in the table below to open interactive dashboards for each metric in a new window.
- Make selections to the data using the drop down menus and sliders highlighted in yellow.
- View <u>instructions</u> to learn more about navigation.
- Download the complete 2021 dataset in an Excel file <u>here</u>.

Exhibit A1. Dashboards display data for 2021 performance metrics

Statutory metric	Metric definition	Link to dashboard
Requests open, received, and closed (Baseline data) See Section B for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 1 - The number of requests where the agency provided the requested records within five days See Section C for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 2 - The number of requests where the agency provided a time estimate for	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >

Statutory metric	Metric definition	Link to dashboard
providing records beyond five days after receiving the request See Section C for more information.		
Metric 3 - Average and median number of days from receipt to final disposition of a request See Section C for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 4 - Number of requests where the agency sought additional clarification from the requester See Section D for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 5 - Number of records requests denied in full or in part and common reasons for denying the requests See Section D for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 6 - Number of abandoned records requests See Section D for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 7 - Number of records requests, by type of requester See Section B for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 8 - Percentage of records requests fulfilled electronically and physically See Section E for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 9 - Number of records requests involving scanning See Section E for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 10 - Average estimated staff time spent responding to records requests See Section F for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 11 - Estimated cost of fulfilling records requests See Section F for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 12 - Number of claims filed alleging a statutory violation See Section G for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 13 - Costs of litigating claims alleging a statutory violation	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >

Statutory metric	Metric definition	Link to dashboard
See Section G for more information.		
Metric 14 - Estimated costs of managing and retaining records See Section F for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >
Metric 15 - Expenses recovered See Section F for more information.	METRIC DEFINITION >	VIEW INTERACTIVE DASHBOARD >

B. Requests received and closed

Agencies reported receiving 357,075 records requests from individuals, organizations, other entities, and law firms

A total of 215 agencies reported data to JLARC staff during the <u>2021 reporting period</u>¹. These agencies received 357,075 records requests.

Exhibit B1: Agencies received an average of 1,661 public records requests in 2021, ranging from zero to 33,164 per agency

Requests opened, received, and closed (Baseline data)

Baseline data includes:

- 26,125 public records requests already opened at the start of the reporting period.
- 357,075 public records requests received during the reporting period.
- 350,249 public records requests closed during the reporting period.

South Sound 911 reported receiving the largest number of records requests, at 33,164 requests. On average, agencies received 1,661 requests in 2021.

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Source: JLARC staff compilation of data reported by 215 agencies.

¹January 1, 2021 to December 31, 2021

Exhibit B2: The most common requesters were individuals, other entities, organizations, and law firms

Number of records requests, by type of requester (Metric 7)		
This data includes information about entities that make public records requests.		
Agencies do not solicit this information from requesters. Requester type is reported only when it is known by the agency.		
• In 2021, the most common types of requesters were individuals, other entities, law firms, governments, and organizations.		
Anonymous entities made 12,344 requests.		
Current or former employees made 3,120 requests.		
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Source: JLARC staff compilation of data reported by 215 agencies.		

C. Response time

Average time to close requests was 20 days

The metrics on this page relate to the amount of time agencies spent responding to public records requests in 2021.

State law requires agencies to respond to public records requests within five days

Agencies may **respond** to a request in the following ways:

- Acknowledge receipt and provide an estimated time frame for providing records.
- Provide the requested records.
- Ask the requester to clarify the request.
- Deny the request because there are no records or there is an exemption from disclosure.

A request is considered **closed** when the agency does one of the following:

- Provides the requested records by:
 - $_{\odot}$ $\,$ Delivering or sending records to the requester.
 - $_{\odot}$ $\,$ Making records available for on-site review, for pickup, or upon payment.
- Informs the requester that the agency does not have the requested records.

• Informs the requester that the records are exempt from disclosure.

The date of **final disposition** is the date the agency finishes providing records, if any, and the request is closed.

Exhibit C1: Agencies closed 185,196 requests within five days



Source: JLARC staff compilation of data reported by 215 agencies.

Exhibit C2: Agencies estimated it would take more than five days to respond for 173,940 records requests

	er of requests where the agency provided a time estimate for providing records beyond five fter receiving the request (<i>Metric 2</i>)
•	Collectively, cities and towns provided the most estimates, at 50,305 requests. State agencies, commissions, and boards provided estimates for 50,226 requests.
•	The Legislature provided the fewest estimates, at 252 requests (out of 368 total requests received).
•	South Sound 911 provided the most estimates for a single entity, at 33,164 requests (out of 33,164 total requests received).
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Source: JLARC staff compilation of data reported by 215 agencies.

Exhibit C3: Agencies closed records requests in an average of 20 days. The median time to close was five days.

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Average and median number of days from receipt to final disposition of a request (Metric 3)

Agencies reported that large requests may affect the average number of days between receiving and closing a records request.

- Statewide, the average number of days to final disposition was 20 days.
- Statewide, the median number of days to final disposition was five days.
- Cities and towns reported the shortest response time, with an average of ten days and a median of three days to final disposition.
- The Legislature reported the longest response time, with an average of 53 days and a median of 26 days to final disposition.



Source: JLARC staff compilation of data reported by 215 agencies.

D. Clarified, denied, abandoned

Few records requests were clarified, denied, or abandoned

The metrics on this page relate to the number of record request clarifications, denials, and abandonments.

- **Clarification** means the agency formally asked the requester to provide clarifying information about the request.
- **Denial** means the agency did not provide complete records to the requester or redacted records per an exemption under Chapter 42.56 RCW.
 - Fully denied means the agency withheld all records from the requester.
 - *Partially denied* means the agency withheld some records from the requester.
 - *Redacted* means the agency obscured part of a record before providing it to the requester.
- **Abandonment** means the requester withdrew the request or failed to follow request procedures.

Exhibit D1: 23,870 requests (7%) required clarification

Number of records requests where the agency sought clarification from the requester (Metric 4)

Agencies reported the number of requests needing clarification, not the number of times a request was clarified. For example, one request with five different clarifications is counted once.

- Statewide, 23,870 requests required clarification.
- 8,629 (7%) requests to cities and towns required clarification.
- 254 (11%) requests to higher education institutions required clarification.
- 25 requests (7%) to the Legislature required clarification.
- Seattle reported the most requests that required clarification, at 1,545 (10%) requests.
- 16 agencies reported that no requests required clarification.

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Exhibit D2: 8,275 requests (2%) were fully denied, and 81,985 requests (23%) were partially denied or redacted

Number of records requests denied and common reasons (Metric 5)

Fully denied requests

- 8,275 (2%) requests were fully denied.
- Local governments accounted for 43% of the fully denied requests.
- Longview reported the most requests fully denied, at 1,089 requests (13% of the fully denied requests).
- 69 agencies reported that no requests were fully denied.

Partially denied requests

- 81,985 (23%) requests were partially denied.
- Cities and towns accounted for 38% of partially denied requests.
- South Sound 911 reported the most requests partially denied, at 8,762 requests (11% of partially denied requests).
- 28 agencies reported that no requests were partially denied.

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Source: JLARC staff compilation of data reported by 215 agencies.

Exhibit D3: Requesters abandoned 16,575 requests (5%)

Number of abandoned records requests (Metric 6)

- 17,549 (5%) requests were abandoned by requesters.
- Seattle reported the largest number of abandoned requests, at 4,561 requests.
- 36 agencies reported that no requests were abandoned by requesters.
- 42% of abandoned requests were made to cities and towns.

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E. Response format

Most records requests were fulfilled electronically

The metrics on this page relate to the way an agency provides records to a requester. Agencies can provide public records in electronic format or in printed format. These metrics include information about electronic and physical records and if records are scanned to fulfill a request.

- **Electronic records** include email, memory sticks, CDs, file transfer sites, links to online documents, and more.
- **Physical records** include paper documents, books, photographs, and other non-electronic records.
- Scanning converts physical records to an electronic form.

Exhibit E1: 257,074 requests (74%) were fulfilled electronically

Percentage of records requests fulfilled electronically and physically (Metric 8)

- 257,074 (74%) requests were fulfilled with only electronic records.
- 17,319 (5%) requests were fulfilled with only physical records.
- 4,258 (1%) requests were fulfilled with a combination of physical and electronic records.
- 69,581 (20%) requests were closed because the agency did not have responsive records.

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Source: JLARC staff compilation of data reported by 215 agencies.

Exhibit E2: 56,408 requests (16%) required agencies to scan physical records

Number of records requests involving scanning (Metric 9)

- 56,408 requests (16%) required agencies to scan physical records.
- Washington State Patrol reported the most requests requiring scanning, at 11,490 requests.
- 33 agencies reported that no requests required scanning.
- On average, each agency received 262 requests that required scanning of physical records.

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Source: JLARC staff compilation of data reported by 215 agencies.

F. Time and cost

Agencies estimate spending more than 1.3 million hours and \$100 million responding to records requests

The metrics on this page relate to the staff time and costs associated with responding to records requests and managing public records. All data reported to JLARC for these metrics are estimates, per statute².

Time and cost estimates reflect estimates for the 215 agencies that reported performance metric data. Estimates do not include costs for the 520 agencies that indicated they were below the \$100,000 expenditure threshold, nor the 1,717 agencies that did not provide information.

Time and cost estimates reflect activities between January 1, 2021 and December 31, 2021.

Agencies used various approaches to calculate costs. JLARC staff advised agencies to avoid double counting time and costs by separating the resources used to respond to requests from the resources used to manage records.

Agencies reported challenges estimating the time and cost of responding to public records requests

Agencies have different internal processes for estimating the staff time spent responding to public records requests. For example, some agencies assign a difficulty level to each request (e.g., easy, average, difficult) and assign each level a corresponding amount of time spent. Others work with staff to gather actual time spent.

²RCW 40.14.026

Agencies reported challenges estimating staff time for positions that are not designated as public records staff. For example, employees who are not typically involved in fulfilling public records requests may spend time looking for records on a specific request.

Agencies reported challenges in estimating the costs for managing records

Agencies indicated a number of challenges in estimating costs for managing public records, such as:

- Including staff training costs.
- Including overhead estimates.
- Differentiating response costs from management costs.
- Calculating costs for staff whose primary job is not records management.
- Calculating costs for software that is used for managing records and for other purposes.

Exhibit F1: Agencies spent 1.3 million staff hours responding to public records requests

Average staff hours spent responding to records requests (Metric 10)

Averages may not always reflect a typical records request.

- Agencies spent an average of 6,133 hours responding to records requests.
- The statewide average is 3.4 hours per request.
- Seattle reported the most estimated staff hours, at 121,354 hours.
- Four agencies reported an estimated one staff hour spent responding to requests.
- School districts reported the most staff time spent per request, with an average of 12.7 hours per request. Special districts reported the least time spent, with an average of 1.0 hour per request.



Source: JLARC staff compilation of data reported by 215 agencies.

Exhibit F2: Agencies spent \$100 million fulfilling records requests

Cost of fulfilling records requests (Metric 11)

- The total estimated cost to agencies in 2021 was \$100 million.
- The average cost per agency was \$464,843.

- The average cost per request was \$261.
- Department of Children, Youth and Families reported the largest total estimated cost, at \$15,454,411.
- Eight agencies reported no estimated costs.

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Exhibit F3: Agencies spent \$192 million managing and retaining public records

Cos	sts of managing and retaining records (<i>Metric</i> 14)
	• The average cost per agency was \$895,206.
	• Health Care Authority reported the highest costs, at \$36,880,380.
	Thirteen agencies reported no estimated costs.
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Source: JLARC staff compilation of data reported by 215 agencies.

Exhibit F4: Agencies reported \$194,480 in total recovered expenses associated with responding to records requests

Expenses recovered (Metric 15)

Agencies may collect fees or payment from requesters to cover expenses incurred in responding to a records request.

- State agencies, boards, or commissions reported the most expenses recovered, at \$77,821 (40% of total costs recovered).
- On average, each agency recovered \$905, or about \$0.54 per request.
- The Department of Ecology reported the most expenses recovered, at \$13,989.
- Three agencies reported that they recovered less than \$20.

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G. Court claims

Agencies spent \$7.2 million on litigation

The metrics on this page relate to court claims alleging that the agency violated the Public Records Act (<u>Chapter 42.56 RCW</u>) or other public records statutes. Data reported for this metric include the number of claims filed and costs incurred by the agency. Data does not include information about the total number of claims settled during the reporting period.

Agencies reported a total of 133 court claims filed in 2021 alleging that an agency violated Chapter 42.56 RCW. Agencies reported spending \$7.2 million on litigation costs. Costs may include:

- Estimates of agency staff time incurred while responding to litigation (e.g. responding to discovery, participating in depositions, attending mediation).
- Attorney fees for the agency's attorneys.
- Other agency representation costs (e.g. costs associated with production of documents or purchasing deposition transcripts).
- Settlement amounts.
- Total penalties.
- Attorney fees for the requester's attorney.
- Costs for the requester's litigation.

Exhibit G1: Agencies reported 57 court claims were filed against them alleging a statutory violation

Number of court claims alleging a statutory violation (Metric 12)

- 57 (43%) court claims were filed against state agencies, commission, or boards.
- The Department of Corrections accounted for 37 (28%) of the total court claims filed.
- 171 agencies reported no court claims filed against them during the reporting period.

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Source: JLARC staff compilation of data reported by 215 agencies.

Exhibit G2: Agencies spent \$7.2 million on litigation for court claims alleging a statutory violation

Costs of litigating court claims alleging a statutory violation (*Metric* 13)

- Cities and towns reported the highest litigation costs, at \$2,237,679 (31% of statewide total).
- The Legislature reported lowest litigation costs, at \$32,841 (0.46% of statewide total).
- Cross Valley District reported the highest litigation costs for a single agency, at \$827,794.
- 151 agencies reported that they had no litigation costs.

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Source: JLARC staff compilation of data reported by 215 agencies.

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