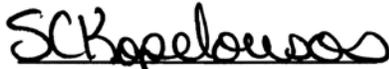


Approved:

Effective: October 10, 2008

Office: Support Services

Topic No.: 050-020-025-e



Stephanie C. Kopelousos

Secretary

RECORDS MANAGEMENT

PURPOSE:

To assist each office within the Department of Transportation (Department) with maintaining effective records management.

AUTHORITY:

- Chapter 119, Florida Statutes (F.S.), Public Records
- Chapter 257, Florida Statutes (F.S.), Public Libraries and State Archives
- Section 283.55, Florida Statutes (F.S.), Purging of Publication Mailing Lists
- Section 20.23(3)(a), Florida Statutes (F.S.), Organizational Structure
- Chapter 334, Florida Statutes (F.S.), Transportation Administration
- Rule Chapter 1B-24, F.A.C., Department of State Rules, Public Records, Scheduling and Dispositioning
- Rule Chapter 1B-26, F.A.C., Department of State Rules, Records Management- Standards and Requirements

SCOPE:

All offices of the Florida Department of Transportation.

REFERENCES:

- Policy No. 001-325-060, Security and Use of Information Technology Resources, Including E-Mail, Internet and Anti Virus Software
- Procedure No. 325-080-003, Electronic Document Management Systems (EDMS) Requirements
- Procedure No. 325-060-001, Electronic Security for Public Records Exemptions
- Procedure No. 350-080-300, Securing, Transmitting, Depositing, Recording, and Refunding Receipts
- Right of Way Manual, Topic No. 575-000-000; Right of Way Records Management, Chapter 11, Section 11.3, and Funds Management, Chapter 11.

- Florida Department of State (FDOS), Basics of Records Management
- FDOS Electronic Records and Records Management Practices
- FDOS Micrographics Handbook
- FDOS Public Records Storage Guidelines for Record Centers and Archives
- Chapter 18-24, F.A.C. Florida Forever Land Acquisition and Management

(Note: All FDOS references can be found at the Department of State website at: <http://dlis.dos.state.fl.us/recordsmgmt/publications.cfm>)

DEFINITIONS

Active Records: Those records, which still have sufficient administrative, fiscal, legal, or historical value to warrant their continued storage in an easily accessible area.

Agency: Any state, county, district, municipality, department, division, board, bureau, commission, or other separate unit of government created or established by law.

Archives: An organization dedicated to the preservation of documents deemed to have historical significance. Usually, archives will accept, arrange, and preserve such records according to approved archival practices.

Computer Output Microfilm (COM): An electronic machine process which can produce data in microfilm form directly from a computer magnetic tape without the use of any paper medium. The microfilm product is in fiche or roll format, which can be duplicated rapidly and inexpensively.

Contract Plans: The plans prepared during the design phase and used by construction personnel to build a project. When design is complete, the Engineer of Record (EOR) seals a first generation plot of the set of Plans and this becomes the legal record set in accordance with **Section 471.025, F.S.**

Department: The Florida Department of Transportation

Determination of Record (Master) Copy: A process that requires each office to be responsible for determining the record (master) copy and adhering to the appropriate retention for that record series.

Disaster Preparedness: The systematic identification of those records, which are absolutely vital to an agency's purpose and the subsequent development of a plan to protect such records.

Disposition: The process of eliminating records, such as through destruction,

microfilm and destruction, electronic storage and destruction, or transfer of records to another office, agency, etc.

District Records Management Coordinator: The person designated by the District Secretary to assist in the implementation of the records management program and who serves as liaison between the Department Central Office Records Center and the District.

Division: The Division of Library and Information Services, including the Bureau of Archives and Records Management of the Department of State.

Document: A public record, assembled or created, which is needed to trace the actions, steps or decisions of an agency in connection with official business.

DOT Central Office Records Center: The unit that develops and oversees the Department's Records Management Program and serves as the primary communication point with the Department of State's Division of Library and Information Services, Bureau and Records Management.

Drafts: Materials, which constitute precursors of governmental records and are not, in themselves, intended as final evidence of the knowledge to be recorded. Information in a form which is not intended to perpetuate, communicate, or formalize knowledge of some type and which is fully represented in the final product is a draft and not a "public record". (*Rule 1B-24.001(3)(p), F.A.C.*)

Duplicate (or Convenience) Records: Reproductions of (master) copies, prepared simultaneously or separately, which are designated as not being the official copy.

Electronic Recordkeeping: The practice of keeping records in any machine-readable media such as, magnetic tapes and disks, and optical platters.

Electronic Recordkeeping System: An automated information system for the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, such as an Electronic Data Management System (EDMS).

Electronic Records: Any information that is recorded in machine readable form that can only be read and processed by a machine.

Final "As-Built" Plans: The Sealed Contract Plans after construction is completed, including all revised sheets and shop drawings, and the title on the key sheet is changed to Final "As-Built" Plans, in accordance with *Chapter 4, Final Estimates Preparation and Documentation Manual, Topic Number 700-050-010*.

General Records Schedules: Retention requirements issued by the for public records common to specified agencies within the State of Florida, which state the minimum time such records are to be kept. **Section 257.36, F.S.** gives the Division of Library and Information Services of the Department of State this authority.

Inactive Records: Records that have not reached their retention period, but are either infrequently needed (i.e., three times with six months) or superseded by new records. These records can be stored off-site until final disposition is warranted.

Long-term Records: Records that have a retention of 10 years or more, but are not permanent records, and have been determined to have sufficient historical or other value to warrant continued preservation. These records should be microfilmed or stored electronically as permanent records to ensure the preservation and availability of information for the required retention period.

Microfiche: A flat sheet of film with a number of images on the film. Normally the film is approximately 4 inches x 6 inches in size and has a capacity of up to 208 images or pages per sheet.

Microfilm: The reproduction of paper records onto roll film through a miniaturization process wherein the image area of the copy is reduced up to one-fortieth of its original size while retaining its original clarity.

Microforms: The term used to denote the various types of forms in which microfilm is retained (i.e., 16 or 35mm).

Official Record Plans: The plans that have been signed and sealed by the Engineer of Record.

Permanent Records: Records which have been determined to have historical or other value to warrant continuous preservation. These records should be microfilmed to ensure the preservation and availability of the information forever.

Publication: Any document, whether produced for public or internal distribution.

Public Records: All documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, data processing software or the 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 any agency as defined in **Section 119.011(2), F.S.**

Records Specialist: Department Office Manager or their designee who is responsible for safeguarding and retaining records.

Record (Master) Copy: That record designated by the Records Specialist as being the official record.

Record Series: A group of related documents identified by the Florida Department of State with a specific retention schedule.

Records Management: The application of systematic controls applied to record information required in the operation of an agency's business and instituted to achieve control over records from the time of their creation to their ultimate disposition.

Records Management Liaison Officer (RMLO): A staff member within the Department's Central Office Records Center appointed to serve as the liaison between the Division and the Department, and is responsible for the Department's records management program.

Retention Period: The period of time records are required to be retained before they have outlived their administrative, legal, fiscal, or historical value.

1. RECORDS INVENTORY

Conducting a records inventory is the first step toward implementing an effective records management program. An inventory will provide the Records Specialist with an overview of the type of records on-hand, the volume of records, the manner in which records are organized, the nature and degree of duplication and how often records are accessed. District Records Management Coordinators and Central Office Records Center personnel are available as a resource to assist with the inventory. However, each office Record Specialist should actually conduct the inventory as a way to familiarize themselves with the type of records in their office.

1.1 COMPONENTS OF RECORDS INVENTORY

The following components of a records inventory are needed to determine retention and disposition requirements and provide effective records management. To assist in conducting a records inventory, Records Specialist may use the ***Records Inventory, Form No. 050-020-01***.

1.1.1 Title of Record Series

Documents are classified by Record Series.

1.1.2 Schedule and Item Number

All Records Series are assigned a retention schedule and item number. This information can be found in the Department's ***Records Retention Schedule Booklet***, which can be obtained from the Central Office Records Storage Section or the District Records Management Coordinator.

1.1.3 Description of Records Series

The description identifies the purpose of the Record Series. Further information may include how records are used (i.e. record copy or duplicate) and storage medium used (i.e. hard copy, microfilm, optical disk, CD-ROM, etc).

1.1.4 Inclusive Dates

Inclusive dates cover the earliest and most recent closed dates of files within a box of records and are used to ensure that all records in a box have met retention before the entire box is destroyed.

1.1.5 Volume

An estimate of the quantity of records on hand, to include how much storage space and the number of boxes that are needed to store the records. Volume is expressed in cubic feet. The following conversion chart will assist in converting documents to cubic feet.

Records Volume Conversion to Cubic Foot Measurements

- One 15 X 12 X 10 Storage Carton = 1.0 cu. ft.
- One Letter-size drawer or box = 1.5 cu. ft.
- One Legal-size drawer or box = 2.0 cu. ft.
- One Letter-size, 36" shelf = 2.0 cu. ft.
- One Legal-size, 36" shelf = 2.5 cu. ft.
- One 3 X 5 card, ten 12" rows = 1.0 cu. ft.
- One 3 X 5 card, five 25" rows = 1.0 cu. ft.
- One 4 X 6 card, six 12" rows = 1.0 cu. ft.
- One 5 X 8 card, four 12" rows = 1.0 cu. ft.
- One Tab card, five 14" boxes = 1.0 cu. ft.
- One Tab card, three 24" boxes = 1.0 cu. ft.
- One 36 x 18 lateral drawer = 4.50 cu. ft.
- One 42 x 18 lateral drawer = 5.25 cu. ft.

1.1.6 Retention (or Recommended Retention Period)

If the Record Series can be identified, note the retention period in item 12 on the **Records Inventory, Form No. 050-020-01**. If no Record Series exists for particular records, note the time period that the record series is active administratively, and complete a **Records Retention Schedule, Form No. 050-020-05 (Department of State form LS5E105Reff.1-01)**, and forward the schedule to the Records Management Liaison Officer for processing.

1.1.7 Disaster Preparedness

It is important in any properly maintained records management program to recognize certain documents as vital for office operation. Vital records are those records which are critical to the continuation of the Department under crisis or emergency conditions (fire, flood, storm, etc.) and are required to return to normal operations in a post emergency situation. There is no single list or solution as to what constitutes the vital records of an office. Each office must make its own determination. However, the following questions can be used as a guide:

- (A) What records are vital to the emergency operations of the office?
- (B) What records are vital to re-establishing normal operations of the office after an emergency ceases?
- (C) What records are necessary to protect and ensure the rights and interests of the public?
- (D) What records are necessary to protect the rights and interests of the office?

After identifying its vital records, the office should ensure proper steps have been taken to protect them. An example would include duplicating vital records onto electronic media and using off-site storage for the duplicate records.

Following the inventory process, active records are generally maintained where they are easily accessible. Once active records become inactive, they are generally transferred to a records storage site, or destroyed after established retention schedules have been met.

2. RETENTION OF RECORDS

Retention requirements are set by the Division. The Division has established a General Records Schedule that will cover most of the records maintained by the Department. Records not included in a Record Series in the General Schedule may have retention requirements set by an Individual Agency Record schedule approved by the Division.

Records with a retention of Retain until Obsolete, Superseded or Administrative (ROSA) value is lost may be destroyed or otherwise disposed of without processing a **Records Disposition Request, Form No. 050-020-06**, when the records become obsolete, are superseded, or lose administrative value. All

other records require an approved Records Disposition Request prior to disposition or disposal of the records, as provided in **Section 4** below. The approval authority within the Department is the District Records Management Coordinator or the Records Management Liaison Officer.

If retention has not been established for a record, a **Records Retention Schedule, Form No. 050-020-05 (Department of State form LS5E105Reff.1-01)**, must be completed and forwarded to the Records Management Liaison Officer for processing to establish an approved retention.

2.1 CONSIDERATIONS FOR ESTABLISHING RETENTION PERIODS

The Division will review the legal, fiscal, archival, and administrative values of records in order to establish retention periods. Considerations regarding these values include:

- (A) **LEGAL VALUE:** Is the record series impacted by state or federal provisions, statutes or codes? Does the record series document the compliance of the Department with certain laws?
- (B) **FISCAL VALUE:** Records that document financial transactions such as budgets, payrolls, or vouchers.
- (C) **ARCHIVAL VALUE:** Some records are important not only for today's researcher, but for researchers years from now, such as historic information regarding a major state project. Records having archival value are retained permanently and are targeted for transfer to the State Archives for preservation.
- (D) **ADMINISTRATIVE VALUE:** The administrative value of a record series exists when the record continues to support the Department's current or future work, or until it has been superseded by a more current document and rendered obsolete.

An evaluation of records is made for three reasons:

- (1) To establish their real value;
- (2) To determine the length of time the records will be retained; and
- (3) To identify those records which have no further value and can be processed for disposal.

An evaluation must include these general considerations:

- (A) Is the record vital to the organization?

- (B) Is the record needed for administrative reasons, such as to establish an audit trail, document fiscal activities, or for legal purposes?
- (C) Is the record needed for archival or historic purposes?
- (D) Is the record needed for research and/or statistical purposes, or for the promotion of commerce, business, agriculture, or tourism?
- (E) Is the record of general public interest or does it have national impact?
- (F) Is the record of further value to anyone?

2.1.1 General Records Schedule (GS1-SL)

General Records Schedules are developed and issued by the Division to establish disposition standards for each record series common to state agencies. An agency holding a record series described on a General Records Schedule may use that Item as the established retention period for that particular record series. The retention period stated in the Schedule is the minimum time a record series is to be kept.

Department Administrative Records are scheduled under **General Records Schedule GS1-SL**. To acquire a current **Records Retention Listing**, contact the Records Management Liaison Officer, Mail Station 12, or call (850) 414-4050, or view in Infonet at:

<http://infonet.dot.state.fl.us/SupportServicesOffice/records.html>.

A General Records Schedule eliminates the need for the submission of an individual **Records Retention Schedule, Form No. 050-020-05 (Department of State form LS5EI05Reff.1-01)**, to the Division for approval.

2.1.2 Individual Agency Records Schedules

Individual Agency Records Schedules are developed by the Department to cover records unique to the Department. Individual **Agency Records Schedules** are established when the Department submits an individual **Records Retention Schedule, Form No. 050-020-05 (Department of State form LS5EI05Reff.1-01)**, to the Division. The Schedule is reviewed by the Division and is approved, disapproved or amended. If approved, this form is an official **Records Retention Schedule**. Once an official retention period has been established for a record series, records in the series are eligible for disposition when they have met the retention requirements. The new retention schedule remains effective until there is a change in series content or other factors are introduced which would affect the approved retention period, at

which time a new individual **Records Retention Schedule** should be submitted for approval.

To request establishment of an Individual Agency Records Schedule, an individual **Records Retention Schedule, Form No. 050-020-05 (Department of State form LS5E105Reff.1-01)**, must be completed by the individual requesting to establish an individual record schedule. This request must be forwarded to Central Office, Records Retention Section, Mail Station 12, for review. A copy must be provided to the Department's Office of General Counsel, mail station 58.

A current individual **Records Retention Schedule, Form No. 050-020-05 (Department of State form LS5E105Reff.1-01)**, may be obtained from the Forms and Procedures web page on DOT Infonet, or by contacting the Central Office Records Storage Section, at Mail Station 12, (850) 414-4050.

2.1.3 Preparation of an individual *Records Retention Schedule, Form No. 050-020-05 (Department of State Form LS5E105Reff.1-01)*:

Instructions for completing a **Records Retention Schedule, Form No. 050-020-05 (Department of State form LS5E105Reff.1-01)**:

SCHEDULE NUMBER: The Records Management Liaison Officer assigns this number. The Office generating the request will indicate whether the schedule is a new schedule or is a revision to an existing schedule.

GENERAL INFORMATION

ITEM 1: Self-Explanatory.

ITEM 2: Enter your division: i.e. Finance & Administration, Planning & Engineering, District Operations.

ITEM 3: Self-Explanatory.

ITEM 4: The name of the responsible office manager.

ITEM 5: The name of the office person who prepared the **Retention Schedule**.

RECORD SERIES INFORMATION

ITEM 6-7: Self-Explanatory.

ITEM 8: Vital Records: Those records which are essential to the operations of an agency and which protect the rights of individuals. Often, vital records are identified as part of a disaster preparedness program, and they

constitute those records that are needed in order to re-establish the business of the agency after the disaster.

RECOMMENDED RETENTION AND DISPOSITION

ITEM 9: Self-Explanatory.

AUTHORIZATION

ITEM 10: The signature, date, typed name, and title of the Office Manager of the office having custody of the records.

2.1.4 Records Retention Schedule Submittal Process

The ***Records Retention Schedule, Form No. 050-020-05 (Department of State form LS5E105Reff.1-01)***, must be completed, then approved by the appropriate Office Manager and sent to the Records Management Liaison Officer, Mail Station 12, for review. After review by the Office of General Counsel, the Records Storage Section forwards the form to the Division for approval. After the ***Records Retention Schedule*** is approved or disapproved, a copy is made for the Division's permanent file and the original form is returned to the Records Storage Section. Upon receiving the original form, the Records Storage Section will keep the original and forward a copy of the form to the originating office. Responsible offices must update their ***Retention Schedules*** when changes are needed. Responsible offices must comply with ***Section 257.36(6), F.S.*** regarding proper disposal of records not needed.

3. RECORDS STORAGE

The Department's Records Storage Section coordinates all records storage for Central Office. The District Records Management Coordinator coordinates records storage for the District offices.

3.1 RECORDS CATEGORIES

Records are grouped into two main categories: (1) active records and (2) inactive records. How often records are accessed, not age, determines whether a file is active or inactive. Inactive records are those records that are no longer needed on a regular basis (for example, three times within six months), but cannot be destroyed because they have not met their required retention period. Active records should be maintained in or near the organizational unit utilizing the files. Inactive records are candidates for storage in the Department's Records Storage Areas.

3.1.1 Boxing and Indexing

DOT offices transmitting files to the Records Storage Area are responsible for boxing and indexing files.

3.1.2 Central Office Inactive Records

District offices should send their inactive records to their appropriate District Records Management Coordinator for record storage. Central Office inactive records should be sent to the Records Storage Area if they have not met retention. Boxes sent for record storage will be prepared as follows:

- (A) All records in the boxes must be covered by an approved records retention schedule. To assure that there is an approved Schedule, refer to the ***Records Retention and Disposal Schedule***, which can be obtained from the Central Office Records Storage Section or from the Infonet at:

<http://infonet.dot.state.fl.us/SupportServicesOffice/records.html>
- (B) Each box will contain a specific record series.
- (C) All records are to be boxed in a storage box obtained from the Records Storage Section.
- (D) A ***Records Submittal Request, No. 050-020-02***, must be submitted to and approved by DOT Records Center personnel.

3.1.2.1 Preparation of Records Submittal Request, Form No. 050-020-02

Instructions for completing a ***Records Submittal Request, Form No. 050-020-02***:

- Items 1-2: Enter name and telephone number of individual requesting storage of records. Make sure the contact listed is the person who prepared the ***Submittal Request***.
- Items 3-5: Identify the appropriate office having custodial responsibility for the records. Show the Building/Room Number and the Mail Station of the person requesting storage.
- Item 6: Enter number of boxes being submitted for storage.
- Item 7: Indicate if records have been boxed in numerical, alphabetical, or chronological order.
- Item 8: Indicate the box number placed in the upper left corner of the end of the box.

Make sure that the number assigned to each box corresponds with the number listed on the submittal. Also, restrict all labeling to the upper left corner of each box, leaving a three-inch clearance on the bottom half.

Storage Box Number: Records Storage staff will assign each box a Records Storage Number.

Description of Records: Use the Record Series Title as it appears in the approved ***Record Retention and Disposal Schedule***, which covers the contents of the box.

Dates: Indicate the inclusive dates of the records in the box.

Schedule Number: Indicate the ***Records Retention Schedule*** number(s) and individual item number(s) that apply to the contents of the box.

3.1.2.2 Records Submittal Request Process

After material is accepted by the Records Storage Section, the ***Submittal Request, Form No. 050-020-02*** will be signed by Records Center personnel, assigned the appropriate destruction date and given to the person responsible for the Records Storage Area.

The Records Storage staff, or appropriate delegates, will transfer the approved boxes listed on the ***Records Submittal Request, Form No. 050-020-02***, to the Records Storage Area where DOT box numbers will be assigned. The Department box numbers will be placed on the *Submittal Request* and a copy will be sent to the originating office.

The submittal will be retained until materials meet the recommended retention period. When the retention for boxes listed on the Submittal Request is met, a ***Records Disposition Request, Form No. 050-020-06***, will be processed and sent to the Record Specialist, requesting permission to destroy the records.

If two or more record series are filed together, the combined file must be kept through the longest retention period of those records. For this reason, records of two or more record series should not be combined in the same box when sent to record storage.

3.1.2.3 Document Control Stored Records Request

When an office that submitted a box needs to retrieve information from within a box, that office must complete a ***Stored Records Request, Form No. 050-020-***

07. The form should then be submitted to Records Storage Staff to retrieve the requested record.

3.1.2.4 Preparation of Stored Records Request, Form No. 050-020-07

Instructions for completing a ***Stored Records Request, Form No. 050-020-07***

- (A) **Date:** Indicate the date request was made.
- (B) **Customer's Name and Telephone Number:** Should reflect name and telephone number of person completing the Request form.
- (C) **Office and Room Number:** Indicate where the box or file is to be delivered once retrieved from storage.
- (D) **Records Description:** Description should be as detailed as possible. This information should correspond with how the files were stored in the box. This could be Job Number, Record Title, Vendor Number, or Voucher Number. Requestor may attach a copy of the ***Records Submittal Request, Form No. 050-020-02***, to ease retrieval.
- (E) **Box Number:** Indicate the box number that was assigned by the Records Storage Section.
- (E) **Location and Other:** For the Records Storage Staff use only.

The hard copy of the ***Stored Records Request, Form No. 050-020-07***, is in duplicate, consisting of a white original and a yellow copy. The yellow copy is given to requestor when materials are retrieved and delivered. This copy is to be returned with documents to the Records Storage Section.

The white copy is kept on file in the Records Storage Section until materials are returned to the Records Storage Section.

Once the file or box is returned to the Records Storage Area, the white and yellow copies are kept on file for one (1) year.

4. RECORDS DISPOSITION

In accordance with ***Rule 1B-24.003(10) F.A.C.***, records which have met retention no longer require the approval of the Division prior to their disposal. The authority to approve the destruction or disposal of records is now with the Department as explained in ***Section 4.1.2***. The most common method of disposition of a record is the actual destruction of the record. Disposition may also mean that records can be transferred to other agencies. For example, if a public agency wished to transfer records to another public agency, then the custody of those records

becomes the responsibility of the gaining public agency. However, if a public agency had a request for certain records from a private historical society, then those records would be “on loan” and the loaning public agency would be required to fill out a ***Records Disposition Request, Form No. 050-020-06***, signifying that such a loan had taken place. In this case, a Records Disposition Request does not mean that the records will actually be destroyed.

A disposition request must also be used to document a media conversion. Transferring records to optical disk or microfilm is an example of a disposition of records that requires completion of the *Record Disposition Request*.

4.1 PURPOSE OF RECORDS DISPOSITION REQUEST, FORM NO. 050-020-06

This form is used by an office to notify the Department of its intention to loan or transfer records to another agency, or destroy records that have met retention. The office having custody of the records that are to be loaned, transferred or destroyed should complete a ***Records Disposition Request, Form No. 050-020-06***.

If the records have been submitted to the Central Office Records Storage Section for storage, a *Records Disposition Request* will be completed by the Central Office Records Storage Staff and the form will be forwarded to the responsible office for the Office Manager’s approval before destruction.

Due to limited storage space and storage cost, it is imperative that records no longer needed be destroyed when retention is met.

4.1.1 Preparation of Records Disposition Request, Form No. 050-020-06

Instructions for completing a ***Records Disposition Request, Form No. 050-020-06***

ITEMS 1-4: Provide complete identification for each item. When completing the information for item 4, “Contact”, ensure the contact listed is the person from the unit who prepared the *Records Disposition Request*.

ITEM 5: **Include** the signature, date, typed name, and title of the Office Manager.

ITEM 6: Indicate the disposal method to be used. **CHECK ONLY ONE BOX.** Submit a separate request for each method of destruction.

(A) This encompasses destruction by recycling, landfill, burning, shredding or any other destructive process.

- (B) Records will be destroyed in accordance with standards in **Rule 1B-24, F.A.C.**
- (C) This also includes other forms, such as the transfer of records to the Florida State Archive, loaning the records to private historical societies, or storage of information in the Electronic Document Management System (EDMS). When paper records are transferred to an electronic format for storage the paper records will be destroyed. Refer to **Procedure No. 325-080-003, Electronic Document Management System (EDMS) Requirements.**
- (D) Electronic Storage Destruction.

ITEM 7a: Enter the Schedule Number covering the individual record series as it appears in the **Record Retention and Disposal Schedule**. This must reference a current **Schedule**. A copy of the **Record Retention and Disposal Schedule** is available on the Infonet at:

<http://infonet.dot.state.fl.us/SupportServicesOffice/records.html>,

or may be requested by calling (850) 414-4050.

ITEM 7b: Enter the corresponding item number of the record series found in the **Record Series Retention Listing**. This must reference the complete item number including, when applicable, the letter of the item (usually "a" for record (master) copy, or "b" for duplicate).

ITEM 7c: Enter the record series title as shown on the **Record Series Retention Listing**.

ITEM 7d: For Records Management Liaison Officer or District Records Management Coordinator use only.

ITEM 7e: Show the inclusive dates (month and year) for each listed record series proposed for disposal. This must include a beginning and an ending date.

ITEM 7f: Show the estimated volume of records proposed for disposal, in cubic feet. Please see the **Records Volume Conversion Table** in **Section 1, Records Inventory**.

ITEM 8: For Records Management Liaison Officer or District Records Management Coordinator use only.

ITEM 9: Enter signature of the Department employee that destroyed the records. When the disposal certificate has been executed, it is retained permanently by the Records Management Liaison Officer or District Records Management Coordinator.

Page 2 of **Form No. 050-020-06** is the continuation sheet for the **Records Disposition Request**.

4.1.2 Records Disposition Request Submittal Process

In the District offices, the **Records Disposition Request** is completed by the office that is in possession of the records. The records disposition request, will be signed (item 5) by the Office Manager and will be forwarded to the District Records Management Coordinator for review and approval of the disposition method (destruction, electronic storage and destruction, etc.). The District Records Management Coordinator will also ensure that the retention period has been met.

In the Central Office, the original **Records Disposition Request** is to be submitted to the Department's Records Storage Section. The form is to be signed (Item 5) by the Office Manager responsible for the records. It will be reviewed by the Records Management Liaison Officer for approval of the disposition method.

Upon approval of the **Records Disposition Request**, the Records Storage Section destroys records that are in Central Office Records Storage. For records maintained in the Districts, the approved **Disposition Request** will be forwarded to the requesting office so that disposal of the records can take place. After the office has destroyed the records, the individual destroying the record will sign in Item 9 of the form and return the original form to their District Records Management Coordinator. District Records Management Coordinators will forward a copy of the **Disposition Request** to the Records Management Liaison Officer after the record has been destroyed.

4.2 PRE-DISPOSAL AUTHORIZATION

Certain records have very short retention periods (i.e. Toll Facility Collection Records). These records may receive a pre-disposal authorization by the District Records Management Coordinator or the Records Management Liaison Officer, which allows disposal on an as needed or even daily basis. In order to accomplish this, the Department has established a procedure for "pre-authorizing" the disposal action. This is accomplished by submitting a **Records Disposition Request, Form No. 050-020-06**, to Records Storage Section, which will allow disposal of records created up to one year after approval of the **Disposition Request**. This process would then be repeated in the subsequent years.

4.3 THE DISPOSITION OF NON-RECORD MATERIALS

Although the definition of “Public Records” established in **Chapter 119, F.S.** is very broad and inclusive, there are materials that are not public records. Examples include telephone books, blank forms, junk mail, catalogues. Material of this nature may be disposed of at the discretion of the public agency without prior consent from the Division.

“Drafts” of a document are public records. The retention schedule for drafts is established by the Division as “retain until obsolete, superseded, or administrative value is lost.”

Questions about which records are public records subject to retention should be directed to the Office of General Counsel.

4.4 DESTRUCTION CERTIFICATION

No public record except those records with a “Retain until Obsolete, Superseded or Administrative value is lost” (ROSA) retention may be disposed of without the consent of the Department.

5. MICROGRAPHIC AND ELECTRONIC RECORDS

Records with long-term retention requirements or with multiple user needs may be converted to micrographic or electronic format as opposed to being maintained on paper.

Before records are committed to micrographics or an electronic recordkeeping system with the intent of destroying the original record and assessment should be completed by the Records Custodian to determine the retention of the records (see **Sections 5.1.4 and 5.1.5**), the cost to convert to microfilm versus EDMS, and the process to destroy the paper record using a records disposition request (see **Section 4**).

5.1 MICROFORMS

The recommended retention schedule for some records contains the phrase “microfilm optional”. Microfilm optional means that an agency may microfilm its paper records at any time provided that:

- (A) They are filmed in accordance with **Rule Chapter 1B-26, F.A.C.**
- (B) A **Records Disposition Request, Form 050-020-06**, has been approved Records Management Liaison Officer or District Records Management Coordinator.

The most widely used microforms are:

- (A) Conventional roll film, 16mm and 35mm, stored and handled on standard reels.
- (B) Multiple image formats; microfiche, film jackets.
- (C) Aperture cards.

The Records Storage Section is available to assist each office in making decisions as to what method of microform should be used before filming their documents.

5.1.1. Microfilm

When microfilming, indexing the roll is an extremely important element. Proper indexing is the key to efficient retrieval.

5.1.2. Microfiche

Microfiche, like other microforms, enables the users to reduce their dependence on voluminous hard copy documents and data printouts.

5.1.3 Computer Output Microfilm (COM)

COM is an electronic process, which can produce data in microfilm form directly from a computer magnetic tape. Tremendous savings in time and money can be realized by using this technique. COM capability is available at the Florida State Records Center.

For further advice and information, Department Central Office Records Center personnel will serve as liaison to the Division. Upon request, personnel with the Division will assist Department in determining whether or not a COM operation is feasible and what projects should utilize its capability.

5.1.4 Microfilming Permanent Records

Permanent records have been determined to have sufficient historical or other value to warrant continued preservation. Records with retention of 10 years or more should be microfilmed as permanent records to ensure their preservation and availability of information for the required retention period.

Permanency requires original silver film to be processed in developer, fixer, and washed in accordance with the photographic standards set forth in **Rule 1B-26.0021, F.A.C.**

When permanent records are microfilmed, the original microfilm will not be used as a working copy since damage to the film may occur. Duplicates of the original microfilm will be used as a working copy to avoid damage to the record copy.

5.1.5 Microfilming Non-Permanent Records

Non-permanent records have a specific retention period of less than 10 years. These may be microfilmed in accordance with Department standards and requirements of **Rule 1B-26.0021, F.A.C.** While this may cut down on storage costs, it may not be economically feasible when the cost of converting to microfilm is considered. However, if the volume of records to be converted is large enough, the savings in storage costs might outweigh the costs of converting to microfilm. Contact the Records Management Liaison Officer or appropriate District Records Management Coordinator with questions about microfilming non-permanent records.

For more information about microfilm services, please contact:

Records Storage Section
Florida Department of Transportation
605 Suwannee Street, Mail Station 12
Tallahassee, Florida. 32399-0450
Telephone: (850) 414-4050
Fax: (850) 414-4915

5.2 ELECTRONIC DOCUMENT MANAGEMENT SYSTEMS (EDMS)

Department documents stored in an EDMS must comply with all provisions outlined in **Procedure No. 325-080-003, Electronic Document Management System (EDMS) Requirements.**

As more documents are being stored electronically, offices should be aware that the retention requirements for Department documents are the same regardless of the storage media used. Consequently, the Department should be prepared to respond to requests for public information that has been stored electronically, the same as if the information had been stored in hard copy. **Rule 1B-26.003, F.A.C. (Electronic Recordkeeping)** gives rules and standards for public records which have a retention value of more than 10 years and which will be recorded and stored on electronic media.

5.2.1 Storage Retention Considerations

In accordance with **Rule 1B-26.003, F.A.C.**, storage/retention considerations for documents stored on EDMS include:

- (A) Ensuring that a proper scanning density of 300 dots per inch is implemented.
- (B) Retention requirements are met.
- (C) Systems are maintained to ensure recoverability.
- (D) Proper storage media is used for long-term/permanent storage.
- (E) Information is not lost due to changing technology or deterioration of storage media.
- (F) Electronic records are backed up as necessary to safeguard against loss.
- (G) Proper security is maintained to protect the integrity of documents.
- (H) Record samples are checked annually to identify any loss of data.
- (I) Disposal occurs in accordance with approved retention schedules.
- (J) Electronic records exempt from public disclosures are safeguarded.

The Central Office Records Storage Section should be contacted for additional information regarding the retention and storage of electronic documents.

5.2.2 E-Mail

Information composed on e-mail is a public record and is not considered confidential, unless specifically exempt from public disclosure by statute. As it relates to records retention, e-mail is simply a means of transmitting information; there is no record series or category entitled ***E-mail***. In order to determine how long e-mail must be retained to meet the public record requirements contained in ***Chapter 119, F.S.***, the content of the message must be evaluated to determine the record series and retention period.

5.2.2.1 Transitory Messages

Certain information transmitted via e-mail has very limited administrative value; for example, notifying employees via e-mail of an upcoming meeting. Information of this nature, whether sent in writing or e-mail, is classified as a record series called ***Transitory Messages***. ***Transitory Messages*** are created primarily to communicate information much like a telephone or hallway conversation is used to convey routine office information. ***Transitory Messages*** do not set or change policy, establish guidelines or procedures, or certify a transaction. E-mail

classified as a transitory message has a retention period that allows destruction when the information contained in the e-mail is considered obsolete, superseded or its administrative value is lost. Consequently, the user may delete a **Transitory Message** immediately after it has served its intended purpose.

5.2.2.2 Correspondence and Memoranda: Administrative

Under certain circumstances, e-mail may have more significant administrative, fiscal, historical, or legal value, which means that the information contained in the e-mail falls under another record series requiring a longer retention. For example, routine office correspondence sent via e-mail would fall under a record series called **Correspondence and Memoranda: Administrative**, which has a retention period of three fiscal years. Another example would be e-mail that establishes policy, forms a contract, certifies a transaction, or relates to a particular project file. E-mail of this nature falls under a record series called **Correspondence and Memoranda: Program and Policy Development**, which have five fiscal years retention and are to be offered to Florida State Archives for archival review before they are destroyed.

5.2.2.3 E-mail Retention Responsibilities

All e-mail sent and received within the Department is a public record, unless the content of the e-mail is specifically exempt from public disclosure by statute. E-mail retention periods range from being able to destroy the e-mail after it has served its purpose, to having to retain the e-mail permanently. In order to determine how long e-mail must be retained, the content of the message must be evaluated to determine what record series it falls under and the corresponding retention period that applies. A list of the retention periods for the Department's records can be found in the **Records Series Retention List**, which may be obtained from your District or Central Office Records Management Coordinator. E-mail users should become familiar with retention requirements of documents they work with to ensure that retention requirements are met. The Department of Transportation has designed its e-mail system as follows:

- (A) E-mail sent or received by a Department employee will be saved for five years.
- (B) For e-mail that has a retention period greater than five years, the sender will be responsible for meeting retention requirements by printing the document and retaining it in hard copy for the retention period or using other electronic storage capabilities provided by OIS.
- (C) E-mail users should avoid including exempt information in electronic transmittals, unless the information is absolutely necessary for the communication. Examples of exempt information include social

security numbers, addresses of law enforcement officers, and employee medical records.

5.3 PREPARATION OF RECORDS FOR MICROFILMING OR ELECTRONIC STORAGE

Preparation of records to be transferred to long term electronic storage or microfilm is the responsibility of the office submitting the records to the Records Storage Section for transfer. Staples, pins, clips and other types of fasteners must be removed. Torn and worn documents must be reconditioned. Crumpled and dog-eared documents must be smoothed out so they will photograph clearly and not jam the machinery. Documents that are not letter size paper (cards, half-sheets, etc.) should be taped securely to a letter size sheet.

5.3.1 Document Arrangement within Box

Each box of documents shall contain an indexed data sheet and all documents shall be arranged in the order that the submitting office prefers to reference them.

5.3.2 Disclaimer

Prior to filming or scanning all documents that cannot easily be read with the naked eye should be stamped with a disclaimer which states: "DISCLAIMER: Due to illegibility and/or condition of the scanned source document, the electronic image may not be legible."

5.3.3 Incorrectly Prepared Records

All documents received by the Document Control Section which are not properly prepared to be electronically stored will be returned to the submitting office for correction.

5.3.4 Storage of Original Media

It is a standard practice of the Records Storage Section to store the original form of media at the State Records Center. Duplicate copies of microfiche or microfilm will be furnished to the responsible office for reference purposes, if required.

6. DISTRICT RECORDS MANAGEMENT COORDINATOR RESPONSIBILITIES

The responsibilities of the Coordinator shall include:

- (A) Coordinating with all Records Specialists in the District to ensure

compliance with the requirements of the Records Management Program of the Department of State; and

- (B) Checking all **Records Disposition Requests** for accuracy and completeness, and approving and signing the requests to certify the records have met established retention.

7. ROADWAY & STRUCTURES ENGINEERING DRAWINGS RETENTION AND DISPOSAL

Sealed Final "As-Built" Plans will be retained permanently. After the construction final payout, **Final Plans** will be scanned and destroyed in accordance with the Department's records management standards and procedures.

8. STORAGE OF CONSTRUCTION PROJECT FILES

Construction project files that the Document Control Office receives from the Districts will be entered into the Document Control imaging storage system.

9. CONTRACTOR PAYROLLS

The District Construction Office will be responsible for storing all contractor payrolls until the project is completed. After the project has been paid the payroll records will be boxed and submitted with a completed **Records Submittal Request, Form No. 050-020-02**, to DOT Central Office Record Center, Mail Station 12.

10. DEPARTMENT PUBLICATIONS

It is the policy of the Department to sell certain public records to the general public and to various government agencies at prices which are consistent throughout the Department.

10.1 PUBLICATION LISTS

A list of **Publications/Services** will be produced by Central Office Maps and Publications Section and updated as appropriate.

10.1.1 FDOT Office Responsibilities

By March 1 of each year, each office shall provide the Maps and Publications Office a list of all publications produced by that Office. The list should include the following information: publication name, office name, contact name,

contact phone number, publication cost (if any) and how the publication is distributed.

10.1.2 Central Office Maps and Publications Responsibilities

The list of Publications/Services produced by the Central Office Maps and Publications Section may be obtained from the following sources:

- (A) FDOT Web page at <https://www.dot.state.fl.us/mapsandpublications>.
- (B) https://www.fldotmpubs.com/pls/orbit/orbit.show_page?version=FLDOT
- (C) Maps and Publications Sales at (850) 414-4050.

10.1.3 Payment for Publications

Payment must be received before any item can be distributed. The Department accepts payment by check, U.S. Postal money order, American Express, Discover, MasterCard and Visa.

All checks must be made payable to the **Florida Department of Transportation** and mailed to Florida Department of Transportation, Maps & Publications, Mail Station 12, 605 Suwannee Street, Tallahassee, Florida 32399-0450.

Credit card transactions must be conducted in person, or processed on-line at <https://www.dot.state.fl.us/mapsandpublications>.

10.1.4 Publication Mailing Lists

In accordance with **Section 283.55, F.S.**, by March 1 of each odd-numbered year, each office shall survey the addresses on each of its publication mailing lists by obtaining the following information:

(name of publication)

Please choose one of the following options:

- I would like to receive this publication in hard copy format.
- I would like to receive this publication in electronic format. My e-mail address is: _____.
- I do not wish to receive this publication.

Should your response to this survey not be received by April 30, your name will be automatically purged from our mailing list.

Those addressees who respond shall be maintained or removed from such mailing list in accordance with the responses. Those addressees not responding by April 30 of the odd-numbered year shall be automatically purged from the mailing list. Agencies are prohibited from supplying addressees with prepaid response forms.

10.1.5 The Florida State Documents Depository Program

In accordance with **Section 257.05(2), F.S.**, the **State Documents Depository Program** requires all agencies publishing reports, studies, or other informational materials to deposit those publications with the Department of State (DOS) Division of Library and Information Services for distribution to designated depository libraries throughout the state. For any public document that has fewer than 40 copies produced, 2 copies shall be provided to the State Library. For any public document for which more than 40 copies are produced, 35 copies shall be provided to the State Library. The Department will furnish the copies to the Division of Library and Information Services in the media published by the Department. If the Department publishes a document described above only in an electronic format, the Department's responsibility would be to provide the state library one (1) electronic copy (DVD, CD, etc.)

This program assures a statewide distribution of publications is made available to the public for use and research in the depository libraries or on interlibrary loan to other libraries in the state and nation.

10.1.6 More Information about Department Publications

For more information about Department publications, please contact:

Maps and Publications Section
FDOT Web Page at

<http://www.dot.state.fl.us/mapsandpublications/>

Florida Department of Transportation
605 Suwannee Street, MS 12
Tallahassee, Florida, 32399-0450
Telephone: (850) 414-4050

10.2 District Distribution of B-Size Construction Plans

Contractors preferring to order B-size construction plans and pay through a District office shall be offered this option. District offices shall collect the money in

accordance with **Procedure No. 350-080-300, Securing, Transmitting, Depositing, Recording, and Refunding Receipts**, and furnish plans to contractors. District offices are also responsible for acquiring any additional plan sets needed in addition to the original amount received from Central Office and upon completion of the project, are responsible for destroying the remaining plans in accordance with **Records Retention Schedule A-309**.

For more information about Department road and bridge contracts, please contact:

Contracts Administration Office
605 Suwannee Street, MS-55
Tallahassee, FL 32399-0450
Telephone: (850) 414-4000
Fax: (850) 414-4947
E-mail: contracts.admin@dot.state.fl.us

Electronic Bulletin Board System:
(850) 922-4158 (850) 922-4159
(850) 921-5976 (850) 921-5977

<http://www.dot.state.fl.us/cc-admin>

11. TRAINING

The Support Services office personnel will offer training to assist users in the processes established in this procedure.

12. FORMS

The following forms are available in the Department's Forms Library on the Forms and Procedures Office website at:

<http://infonet.dot.state.fl.us/tlofp/>

Records Inventory (Form 050-020-01)

Records Submittal Request (Form 050-020-02)

Records Retention Schedule (Form 050-020-05)

Records Disposition Request (Form 050-020-06)

Stored Records Request (Form 050-020-07)

Application for Refund from State of Florida (Form 350-080-14)