

CF OPERATING PROCEDURE
NO. 15-4

STATE OF FLORIDA
DEPARTMENT OF
CHILDREN AND FAMILIES
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Documentation Management

RECORDS MANAGEMENT

This operating procedure establishes the procedures for storing, retrieving, and disposing of the Department's records.

BY DIRECTION OF THE SECRETARY:

(Signed original copy on file)

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Administration

SUMMARY OF REVISED, ADDED, OR DELETED MATERIAL

This operating procedure has been updated to include standard procedures for records management.

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CONTENTS

	Page
Chapter 1 — GENERAL INFORMATION ABOUT RECORDS MANAGEMENT	1
Chapter 2 — RETENTION SCHEDULES	6
Chapter 3 — DISPOSAL OF RECORDS	8
Chapter 4 — RECORDS STORAGE	10
Chapter 5 — INVENTORY	14
Chapter 6 — MICROGRAPHICS	16
Chapter 7 — MONITORING STANDARDS	19

Chapter 1

GENERAL INFORMATION ABOUT RECORDS MANAGEMENT

1-1. Purpose. This chapter explains the records management program, and defines its requirements and responsibilities.

a. The establishment and maintenance of records management programs in all state agencies was legislatively mandated in 1967 with the passing of the Florida Archives and History Act and the Public Records Law. This operating procedure builds upon the guidelines and requirements promulgated by the Department of State (DOS) in its Rules 1B-24 and 1B-26. Under state law, public records may not be destroyed without the prior approval of the Department of State's Division of Library and Information Services, Bureau of Archives and Records Management (DOS Bureau).

b. Records Management is the planning, organizing, directing, controlling and other activities needed to effectively create, maintain, access and use the Department's records and ensure compliance with Florida's public records laws. A sound Records Management Program has a number of benefits including cost avoidance, less space to store and less time to retrieve, lower risk of litigation, better records protection and knowledge of what we have. A Public Record will have one or more of four values: (i) historical; (ii) legal; (iii) fiscal; and/or (iv) administrative.

1-2. Scope. The policies outlined in this operating procedure apply to all employees and offices of the Department of Children and Families (DCF), including Regions and Institutions, and to all individual and business entities who contract with the Department and act on its behalf.

1-3. References.

- a. Chapter 119, Florida Statutes (F.S.).
- b. Chapter 257, F.S.
- c. Chapters 1B-24 and 1B-26, Florida Administrative Code (F.A.C.).
- d. Florida's Government-In-The Sunshine and Public Records Law Manual, First Amendment Foundation. (May be purchased from the foundation at 306 South Duval Street, Tallahassee, Florida 32301.)
- e. Basics of Records Management Handbook, State of Florida, Secretary of State.
- f. Electronic Records and Records Management Practices, State of Florida, Secretary of State.
- g. Inventory and Evaluation of Public Records, State of Florida, Secretary of State.
- h. Micrographics Handbook, State of Florida, Secretary of State.
- i. Files Improvement Handbook, State of Florida, Secretary of State.
- j. Public Records Storage Guidelines, State of Florida, Secretary of State.
- k. Magnetic Media Guidelines, State of Florida, Secretary of State.
- l. Vital Records Protection Guidelines, State of Florida, Secretary of State.
- m. General Records Schedule for State Agencies, State of Florida, Secretary of State.

n. CFOP 15-9, Requests for Public Records.

1-4. Definitions.

a. Agency. Any state, county, district, authority, or municipal officer, Department, division, board, bureau, commission, or other separate unit of government created or established by law and any other public or private agency, person, partnership, corporation, or business entity acting on behalf of any public agency.

b. Archives. The DOS, which maintains archives “for the preservation of those public records and other papers that have been determined by the DOS to have sufficient historical or other value to warrant their continued preservation by the state and have been accepted by the DOS for deposit in its custody.” Archives is not a storage facility. If records are awaiting destruction and have been removed from any office, those records are most likely in a region storage facility, and not in archives or at the State Records Center in Tallahassee.

c. Authorized Signatures. Signatures of designated Department officials authorized by the Records Custodian to sign records management forms.

d. Confidential Public Records. Public records which are declared confidential by law and which are not available for public inspection except in those instances specified by applicable law. (See CFOP 15-9.)

e. Electronic Records. The retention of information through: “[a]ny information that is recorded in machine readable form.” (Rule 1B-24.001(3)(e), F.A.C.; Rule 1B-26.003(5)(e), F.A.C.).

f. File Custodian. The individual responsible for maintaining the specific official file(s) related to the work for which he or she is responsible. File Custodians work with their respective RMC to ensure records are managed in accordance with this operating procedure and are typically the individual(s) called upon in the event of litigation as the person most familiar with those files.

g. Micrographics. The process of creating miniaturized images on media (film, fiche, disk, computer tape, video disk, etc.). The image area of a copy can be reduced and the information may then be retrieved by projecting the media onto a screen, using a reader or microcomputer, or by making prints on paper using a reader/printer or a microcomputer-driven printing device.

h. Micrographic Equipment. Micrographics generating devices including, but not limited to, cameras, readers, reader/printers, film processors, and reproducers.

i. Micrographics Services. Vendor-produced micrographics products, including the preparation and filming of paper documentation, film processing, and the duplicating and creating of microfilm copy by computer output microfilm (COM) techniques.

j. Powerfile Equipment. Electro-mechanical equipment containing shelves which rotate or move within or as a unit and deliver the desired files to a user.

k. Public Records. All documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, data processing software or other materials, regardless of physical form, or 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 [Section 119.011(1), Florida Statutes (1995)]. The Florida Supreme Court interprets the definition of public records very broadly to encompass all materials made or received by an agency in connection with official business which are used to perpetuate, communicate or formalize knowledge.

l. Record Copy. The copy kept as the official record by the File Custodian in accordance with the retention schedule.

m. Records Management Coordinators (RMCs). The person(s) appointed by those designated by the Secretary (as described in paragraph "n" below) to be responsible for the records management program within the areas respectively assigned to them. RMCs work as a team with the File Custodians in their area to achieve an effective records management program. RMCs coordinate with the RMLO whenever there is any action requiring action by the Department of State. Each RMC will have a backup individual to fill in when needed. This includes RMCs located in Regions or at Institutions.

n. Records Custodians (Custodians). The person(s) delegated by the Secretary of DCF to be responsible for public records. Within the Department of Children and Families, the Secretary has delegated this responsibility to the Deputy Secretary, all Assistant Secretaries, Chief of Staff, General Counsel, Inspector General, Chief Information Officer, Executive Communications Director for their particular areas, and all Regional Managing Directors and Institution Administrators.

o. Records Management Liaison Officer (RMLO). The individual in the office of General Services Support (ASG) at Headquarters in Tallahassee assigned responsibility to monitor and manage the Headquarters' records management program, and work with the RMCs to provide technical assistance to and training for all Department personnel as needed. This person serves as the Department's principal contact and liaison with the DOS Bureau, in accordance with Section 257.36(5)(a), F.S. The RMLO will designate a backup individual to fill in when needed.

p. Record Series. A group of related documents arranged under a single filing system category or kept together as a unit because the documents either consist of the same form, relate to the same subject, result from the same activity, or have certain similar physical characteristics (i.e., maps or blueprints). A record series may contain both forms and correspondence. Record Series are established by DOS or upon request of DCF with the approval of DOS.

q. Retention. The amount of time documents within a record series must be maintained by the Department.

r. Retention Schedule. The schedule established by the DOS Bureau containing the listing of record disposal timeframes established by DOS or requested by the Department and approved by DOS. The time frames contained in the retention schedule represent the minimum time the covered records must be retained. However, it is Department policy that retained records will be disposed of when the minimum time is reached, unless there is written approval by the RMLO or RMC to extend further.

1-5. Requirement to Maintain Public Records. No public records may be mutilated, destroyed, sold, recycled, loaned or otherwise disposed of without the approval of the DOS Bureau. Any willful or knowing violation is a misdemeanor of the first degree carrying a fine upon conviction of not more than \$1,000 or incarceration for not more than one year, or both.

1-6. Responsibilities.

a. DOS Bureau.

(1) Adopts rules to establish a state records management program for the efficient and economical creation, utilization, maintenance, retention, preservation, and disposal process of records and offer technical assistance consultation to ensure compliance with records management requirements.

(2) Institutes and maintains a training and information program to provide the Department with approved and current practices, methods, procedures and devices for efficient and economical records management programs.

(3) Evaluates agency recordkeeping operations.

(4) Establishes records retention schedules.

(5) Operates the State Records Center in Tallahassee.

b. The Department's RMLO.

(1) Coordinates Headquarters records management program;

(2) Coordinates the agency's records inventory, maintains retention and disposal forms;

(3) Provides training and technical assistance to staff, including developing and monitoring an annual training schedule such that all Department employees receive at least some training on Records Management annually;

(4) Participates in the development of records management policies and procedures;

(5) Participates in the development of electronic recordkeeping systems;

(6) Reviews requests to establish Department-specific retention schedules, and coordinates those requests with the DOS Bureau;

(7) Maintains and distributes copies of approved Department-specific retention schedules; and,

(8) Maintains a current list of RMCs.

c. Region, Institution or Headquarters Records Management Coordinators (RMCs). The individuals within their respective Region, Institution or Headquarters program area that:

(1) Are appointed by the respective Secretary's designee to be responsible for coordinating and monitoring the records management program in their designated area.

(2) Work with File Custodians to ensure compliance with the Department's records management policies, standards and procedures.

(3) Work with the RMLO to provide training and technical assistance to staff.

(4) Review and approve records disposition requests for their respective Region, Institution or Headquarters program area, before forwarding on to the RMLO.

(5) Maintain documentation, including statistical records documenting levels of activity, regarding records management activities.

(6) Coordinate the disposition of records in accordance with approved records retention schedules and approved records disposition requests.

(7) Arrange for the placement and retrieval of records from off-site records management storage facility(ies).

(8) Maintain “record copy” of records management documentation.

1-7. Forms and Other Supplies.

a. DOS Bureau form LS5E 0105 must be used to create or change a retention schedule. Contact your RMC for assistance if you wish to create or change a retention schedule. The RMC will work with the Department’s RMLO on all requests to create or change a retention schedule.

b. Records storage cartons must be used to store scheduled records. You can request boxes through your RMC.

c. Pre-labeled box numbers used by the records storage facility can be requested through your RMC.

d. Records Stored at the State Records Center. DOS forms must be used to transfer records to, or retrieve records from, the State Records Center in Tallahassee. Contact your RMC for assistance before you attempt to transfer records to or retrieve records from the State Records Center in Tallahassee.

e. Records Stored at a Facility Operated by DCF. Forms LS5E 200, CF 1443, CF 1444 and CF 1445 must be used to transfer records to, or retrieve records from, a records storage facility operated by the Department of Children and Families. These forms can be located on the ASG Web site and in DCF Forms. (If a commercial storage facility is used, contact the RMC to determine what forms to use.)

(1) Use form LS5E 200, “Records Storage Carton Label,” to label each records storage carton. (If commercial storage facility is used, contact the RMC to determine what form to use.)

(2) Use form CF 1443, “Records Storage/Transfer Request” (and continuation page CF 1444, if needed), to transfer records to the records storage facility.

(3) Use form CF 1445, “Records Reference Request,” to retrieve records from the records storage facility.

(4) Use form CF 0107 to request destruction of scheduled records. This form is available on the ASG web site and In DCF Forms.

1-8. Confidentiality and Releasing Public Records. Confidentiality is a complex issue involving a variety of factors. Requests for public records must be referred to the appropriate supervisor, and reviewed by the Region/ or Institution legal counsel or headquarters Office of the General Counsel. Any office that provides public records to a requester is responsible for determining if confidentiality is required, and, if so, for maintaining confidentiality.

Chapter 2

RETENTION SCHEDULES

2-1. Purpose. This chapter explains records retention schedules and the process to establish or revise a schedule.

2-2. What a Records Retention Schedule Is Designed To Do. (Retention schedules may be found in CFP 15-7, Records Retention Schedules Used by the Department of Children and Families.)

a. A records retention schedule establishes a specific length of time records must be retained by the Department and contract providers which act on behalf of the Department. The schedule is subdivided by a listing of Record Series which indicates the minimum required time and the specific place to which the public records belong. There is a General Records Schedule covering requirements of DOS common to all agencies. General Schedules should cover about 75 percent to 80 percent of the Department's records, according to DOS. There are also Individual Records Schedules which cover records unique to the Department. If you need help in determining the applicable retention period, contact your Region, Institution or applicable Headquarters RMC.

b. Retention schedules establish the minimum length of time required to maintain certain documentation. Retention periods are based on a record's informational content, not its format. It is Department policy that the record copy of public records shall be deleted by the Files Custodial when the respective minimum time in the Records Retention Schedule is reached. The originator of the record documents is responsible for ensuring that the record copy of the document originated is kept in the proper record series and for the required period of time. All copies other than the one with the originator are considered duplicates and should be deleted upon receipt after review.

c. The RMLO in coordination with the applicable program area and the Office of the General Counsel will review all requests to exceed the Retention Schedule time for record disposal. An RMC having a request for extended retention will provide the nature and justification for the request by email to the RMLO (unless directed otherwise by the RMLO).

d. A retention schedule provides a concise description of the documents that are included in the record series, and indicates how long to retain the record copy, and how long duplicate copies must be retained. The length of time that records are retained as reflected in the Records Retention Schedule is based on administrative, fiscal and historical needs, audits, legal requirements, and program requirements.

2-3. Use of General Records Schedules for State Agencies. Most of the Department's records are covered by "general" retention schedules promulgated by the DOS Bureau, for use by all state agencies. These general retention schedules are listed in the "General Records Schedule for State and Local Government Agencies (Schedule GS1)." The DOS Bureau will not approve a new Department-specific retention schedule if a record series is already covered by an existing general schedule.

2-4. Process For Revising or Establishing a Retention Schedule.

a. To establish a new individual retention schedule or to revise an existing retention schedule, the Files Custodian should work with the respective RMC to research applicable state and federal statutes governing the program or administrative area using CF Pamphlet 15-7. This research must determine if the records are confidential, if there is a minimum or maximum retention, and if the records are required for audit purposes.

b. After the research is completed, the area RMC will contact the Department's RMLO for assistance in writing or revising a retention schedule.

c. Retention schedules may not be established or revised by Regions or Institutions. Retention schedules must be established or revised by a Headquarters program or administrative unit, after the approval of DOS. The Headquarters program or administrative unit primarily responsible for a record series will:

(1) Write a draft retention schedule on DOS Bureau form LS5E 105 (available in DCF Forms).

(2) Submit the draft to the appropriate RMC for review and comment by appropriate Headquarters, Region and Institution offices and managers, and by the RMLO and attach copies of pertinent laws, rules, or program instructions. The RMLO will ensure that the form LS5E 105 is properly completed and meets applicable standards, and will assess the potential impact on other existing retention schedules. Headquarters, Region and Institution offices will review the draft for compliance with program or administrative needs and requirements.

(3) Revise the draft as needed based on the reviewers' comments.

(4) Submit the final draft to the appropriate leadership authority for Departmental approval.

(5) Send the signed final draft to the RMLO to be forwarded to the DOS Bureau for final review and approval.

d. The DOS Bureau will review the final draft schedule to verify that the draft schedule meets all statutory and audit requirements. If approved, the DOS Bureau will return the signed original copy to the RMLO. If not approved, the DOS Bureau will return the draft unsigned, along with an explanation for not approving the draft.

e. Upon receipt of a retention schedule approved by the DOS Bureau, the RMLO will forward a copy to the appropriate Headquarters, Region or Institution RMC(s). The RMC will provide a copy to the Headquarters, Region or Institution program or administrative unit that originally drafted the schedule, for further distribution to appropriate units in their organizational areas. The RMLO and each RMC will maintain a set of all approved retention schedules.

f. Approved retention schedules are applicable until canceled with the approval of the DOS Bureau, or superseded by another schedule approved by the DOS Bureau. Retention schedules may not be modified or changed by the Department of Children and Families without the approval of the DOS Bureau.

Chapter 3

DISPOSAL OF RECORDS

3-1. Purpose. This chapter provides information and detailed instructions for obtaining permission to destroy records. The destruction of records is required by law: "Every public official shall systematically dispose of records no longer needed subject to the consent of the Department of State" (Section 19.021, F.S.).

3-2. General. Authorization from the DOS Bureau to destroy records is required as indicated in Section 119.021, F.S.

a. Florida's public records law, Section 257.36(a), F.S., mandates each agency shall have a records management program including disposal requirements, to efficiently manage public records. Section 119.021, F.S., provides penalties for staff who do not comply with the statute.

b. All records (including paper or electronic records) must be covered by a retention schedule before the DOS Bureau will grant permission to destroy those records. Records may not be destroyed until the records series to which the records belong has been properly determined. If records are covered by a retention schedule, permission to destroy those records may be requested up to six months in advance of the minimum retention period. Staff are strongly encouraged to request advance authorization to destroy records in order to efficiently utilize office files and records storage space. By having authorization on hand when the records meet the required retention, the RMLO for Headquarters and RMCs for Regions and Institutions may schedule destruction on a routine basis.

c. It is the RMC's responsibility to know what records are in storage, what retention schedules apply to those records, and what the required retention periods are, and to advise staff when records are eligible for destruction.

3-3. Request to Destroy Records. To obtain permission to destroy scheduled records:

a. An Authorization to Destroy Records (form CF 0107, available in DCF Forms) is the form required by the DOS Bureau to request authorization to destroy records. Scheduled records are those record series for which a retention period has been approved by the DOS Bureau.

b. Even though a retention schedule has been established for a particular record series, a records disposition request must be completed and approved by the Department's RMLO for Headquarters and the respective RMC for Regions and Institutions, to destroy records. The request must identify the applicable retention schedule (including item number(s), if applicable), include the title as described on the retention schedule, provide complete inclusive dates for and the number of cubic feet of records to be destroyed, and provide the Department with a mechanism to certify that all applicable audits (if any) have been released.

NOTE: If records are in storage, it is the RMC's responsibility to complete the form. The RMC will complete the form and ask the appropriate authority to certify that all applicable audit requirements have been met. The RMC must work with various programmatic and administrative staff in its respective area to coordinate this certification process. Various scheduled records may be included on the same records disposition request; list each record series and provide all requested information. Only one disposal method per form is allowed.

c. The RMLO and appropriate RMC must have authorization in writing from the DOS Bureau prior to destruction or the Department will be in direct violation of the public records law and staff is subject to the penalties provided for in Chapter 119.10, F.S.

d. The records disposition request form must be typewritten, completed according to instructions and signed by the appropriate delegated authority before it will be acted upon by the DOS Bureau.

3-4. Procedures to Follow Upon Completion of a Records Disposition Request.

a. After the records disposition request has been completed, the RMC will submit the request to the RMLO for review and signature.

b. The RMLO will retain a copy of the signed request and will track action on the request (a log or electronic data base may be used).

c. Upon return of the approved request, the RMLO will notify the RMC who will coordinate the actual destruction of the records with the originating office or records storage facility staff as appropriate.

3-5. Disposition of Records Authorized for Disposal. The RMC will ensure that the following Departmental standards of disposal are strictly adhered followed:

a. Public records will be disposed of in a manner that safeguards the interests of the department and the safety, security, and privacy of individuals. In destroying records containing information that is confidential or exempt from disclosure, the department shall employ destruction methods that prevent unauthorized access to or use of the information and ensure that the information cannot practicably be read, reconstructed, or recovered. The department shall specify the manner of destruction of such records when documenting disposition. Where possible, recycling following destruction is encouraged.

b. For paper records containing information that is confidential or exempt from disclosure, appropriate destruction methods include burning in an industrial incineration facility, pulping, pulverizing, shredding, or macerating. High wet strength paper, paper mylar, durable-medium paper substitute, or similar water repellent papers are not sufficiently destroyed by pulping and require other methods such as shredding or burning. If a recycling company is used, the RMC must periodically monitor the process to ensure that all safeguards are taken to maintain confidentiality.

c. For electronic records containing information that is confidential or exempt from disclosure, appropriate destruction methods include physical destruction of storage media such as by shredding, crushing, or incineration; high-level overwriting that renders the data unrecoverable; or degaussing/demagnetizing. Use of a landfill must be supervised by the RMC or a designee.

d. For other non-paper media containing information that is confidential or exempt from disclosure, such as audio tape, video tape, microforms, photographic films, etc., appropriate destruction methods include pulverizing, shredding, and chemical decomposition/recycling.

e. Agencies shall not bury confidential or exempt records since burying does not ensure complete destruction or unauthorized access.

f. Regardless of the disposal method used for confidential records, the RMC is in charge of disposing of the records and must ensure that reasonable safeguards are taken to maintain confidentiality.

g. After the records have been disposed of, the original, approved records disposition request must be maintained by the RMC as a permanent record for audit and monitoring purposes.

3-6. Lost Records or Records Destroyed Without Approval. In the event public records are missing due to being inadvertently destroyed, deliberately destroyed, destroyed by disaster (flood, hurricane, fire, etc.), or lost (cannot be found after diligent search), the RMLO must complete or have the appropriate RMC complete a form CF 0107 (available in DCF Forms) to clear the records from inventory. The form CF 0107 must explain the circumstances which resulted in the records no longer being available for public inspection.

Chapter 4

RECORDS STORAGE

4-1. Purpose. This chapter provides information on why and how to transfer records into, or retrieve them from, off-site records storage and provides instructions on how to complete the forms. For records storage facility standards, refer to Public Records Storage Guidelines, State of Florida, Secretary of State.

4-2. General.

a. Section 257.36(5)(b), F.S., requires the Department to “establish and maintain an active and continuing program for the economical and efficient management of records.” Off-site records storage is a part of the Department’s records and information management program. The RMLO is responsible for ensuring that inactive or seldom referenced records are stored off-site on a continuing basis.

b. Chapter 257, F.S., authorizes the DOS to:

(1) Analyze, develop, establish, and coordinate standards, procedures and techniques of record making and record keeping;

(2) Ensure the maintenance and security of records; and,

(3) Recommend improvements in records management practices, including the use of space, equipment, supplies, and personnel in creating, maintaining and servicing records, etc.

c. The Department’s records and information management program is subject to monitoring and audit based on the standards developed by DOS Bureau. It is the responsibility of the RMLO to ensure that all standards, principles and practices of effective and economical records storage management are applied and complied with.

d. The forms specified in this operating procedure will be used to store records at all Department of Children and Families’ storage facilities (the forms required by the DOS Bureau must be used to store records at the State Records Center in Tallahassee). When a commercial storage facility is used, it will be the duty of the RMLO to establish whether Children and Families’ forms or the commercial facility’s forms will be used.

4-3. Electronic Records.

a. The requirements for retaining and disposing of electronic records are the same as the requirements for retaining and disposing of paper records. Retention periods are based on a record’s informational content, not its format.

b. General. All email sent to and received by the Department pursuant to a law or ordinance or in connection with the transaction of official Department public business is a public record. There is no record series or category entitled **Email**. As it relates to records retention, email is simply a means of

transmitting information and should not be used for storing public records. In order to determine how long email must be retained to meet the public record requirements contained in Chapter 119, F.S., the content of the message, including any attachments, must be evaluated to determine the corresponding record series and applicable retention period. Email users should become familiar with retention requirements of documents with which they work to ensure that retention requirements are met.

c. Transitory Email. Transitory Email has minimal or no documentary value. Such messages do not set or change policy, establish guidelines or procedures, or certify a transaction. Information of this type, transmitted through email and classified as a Transitory Email, should be destroyed when the information contained in the email is considered obsolete, superseded or its administrative value is lost. Consequently, the user may delete a Transitory Email immediately after it has served its intended purpose. For example, a notification of the change in time for a Staff Meeting, a reminder about submitting your Time Sheet or the weekly leadership message from the Secretary, etc.

d. Correspondence and Memoranda. Under certain circumstances, email may have more significant administrative, fiscal, historical, or legal value. In that instance, the information contained in the body of the email falls under a record series requiring a longer retention. For example:

(1) Routine office correspondence sent via email falls under a record series called Correspondence and Memoranda: Administrative. Such documents (an email describing the process to develop LBRs for the next Legislative Budget cycle, appointment of a Negotiating Team for a contract, etc.) have a retention period of three (3) fiscal years for the email and any attachments.

(2) Email that establishes policy, forms a contract, or certifies a transaction falls under a record series named Correspondence and Memoranda: Program and Policy Development. These documents (e.g., a Letter of Agreement with a Vendor, a decision from leadership regarding a program change) have a five (5) fiscal year retention requirement for the email and any attachments.

e. The Department has designed its email system as follows:

(1) Email sent or received by a Department employee (whether it be intra-departmental or transmitted to a recipient outside the Department) will only be saved for five (5) years, unless a Record Series requires a longer period. Upon reaching the five (5) year point, such emails shall be deleted.

(2) If intra-departmental email is subject to a retention period greater than five (5) years, the sender is responsible for meeting retention requirements by ensuring the email and any attachments are properly stored for the retention period in accordance with guidance provided by the business unit in which the sender is employed, e.g., on a shared drive.

(3) For email received from outside the Department, the recipient(s) is(are) responsible for meeting retention requirements by ensuring the email and any attachments are properly stored for the retention period. Recipients may elect to coordinate with one another to decide which recipient will carry out that responsibility.

(4) Email users should make sure to encrypt any emails containing exempt and/or confidential information.

4-4. Preparing Records for Storage (Packing Records Storage Cartons, Completing Label, and Completing the Records Storage Request Form).

a. Cartons. Use only records storage cartons to pack records for transfer to any records storage facility. For assistance in obtaining cartons or packing them, properly contact your RMC.

b. Records Storage/Transfer Carton Label. When properly completed and attached to a records storage carton, a records storage/transfer label provides a quick reference guide of the contents of the carton.

(1) Form LS5E 200 (available in DCF Forms) must be used to label records storage cartons stored in a Department of Children and Families' storage facility. The records storage carton label approved by the DOS Bureau must be used to label records storage cartons stored at the State Records Center in Tallahassee. If a commercial storage facility is used, contact the RMC to determine what carton label to use.

(2) Information on the carton labels must be legibly handwritten or typed.

(3) Each carton label should be taped onto the carton using clear packing tape. Do not use a photocopy of the label.

(4) Records storage cartons that have not been properly prepared for storage will not be accepted by the records storage facility.

c. Records Storage/Transfer Request. A records storage/transfer request provides documentation that records have been stored in an off-site records storage facility and documents the specific location of the records within the storage facility for future reference of the records. A records storage/transfer request may also be used to document the transfer of records from one office to another (e.g., from region/institution personnel to the inactive personnel records unit, etc.).

(1) Form CF 1443 (and continuation page CF 1444, if applicable) must be used to store records in or transfer records to a Department of Children and Families' storage facility. The records storage/transfer request approved by the DOS Bureau must be used to store records in or transfer records to the State Records Center in Tallahassee. If a commercial storage facility is used, contact the RMC to determine what records storage/transfer request to use.

(2) CF 1443 (and CF 1444, if needed) is available in DCF Forms. Contact your RMLO or RMC if you need assistance.

(3) The requesting office must complete all applicable items, and submit all copies of the properly completed request to the RMLO or RMC for review and approval.

(4) The RMLO or RMC will:

(a) Review the request and approve only scheduled records for transfer or storage. If the records schedule is not indicated either on the request form or the label affixed to the boxes, the records will not be processed until the information is completed.

(b) Complete all applicable items for which the RMLO or RMC is responsible.

(c) Arrange for the shipment of records to be transferred to an off-site records storage facility, and assume responsibility for those records that are transferred to a Department of Children and Families' storage facility, upon receipt at the storage facility.

(d) After storage location data has been completed by the storage facility's staff, return a photocopy of the records storage/transfer request to the office contact person who will retain the copy until the records are disposed of. The originating office RMC should maintain a copy and all supporting documentation in either paper or electronic record on shared drive for future reference and audits.

4-5. Records Reference Service (how to retrieve and return records).

a. Retrieving Records from Records Storage.

(1) Form CF 1445 must be used to retrieve records from a Department of Children and Families' storage facility. The form approved by the DOS Bureau must be used to retrieve records from the State Records Center in Tallahassee. If a commercial storage facility is used, contact the RMC to determine what form to use.

(2) Form CF 1445 is available in DCF Forms. Contact your RMLO or RMC if you need assistance in completing form 1445.

(3) The requesting office must complete all applicable items, and submit the original of the properly completed request to the RMLO or RMC for processing.

(4) If the records are stored in a Department of Children and Families' storage facility, the RMLO or RMC will review and authorize, if appropriate, the release of the records within two working days of receipt of the completed form CF 1445. The retrieval request will only be denied if the necessary storage documentation is not available, or if access to the requested records is limited. Records to which access is limited (e.g., adoption records, etc.) may be retrieved only with the authorization of the supervising program.

(5) If records are stored at the State Records Center or at a commercial storage facility, the RMLO or RMC will forward the appropriate retrieval form to the storage facility for review and authorization. The records will be released in accordance with the storage facility's procedures. Prior to forwarding the retrieval request to the storage facility, the RMLO or RMC will verify whether access to the requested records is limited. Records to which access is limited (e.g., adoption records, etc.) may be retrieved only with the authorization of the supervising program and legal counsel.

(6) Upon receipt of records retrieved from a Department of Children and Families' storage facility, the requester must sign item 9 of CF 1445, and immediately return the signed copy to the RMLO or RMC. Receipt of records retrieved from the State Records Center or a commercial storage facility will be handled in accordance with the storage facility's procedures.

(7) The signed copy of CF 1445 must be retained by the RMLO or RMC for all requests (denied or approved) for at least one calendar year for statistical purposes.

b. Returning Records to Records Storage.

(1) To return records to records storage, the requesting office must contact the RMLO or RMC, and follow the procedures specific to the storage facility from which the records were retrieved. For records retrieved from a Department of Children and Families' storage facility, it may be sufficient to tape a copy of the completed CF 1445 to the records storage carton, and deliver the carton with CF 1445 attached to the RMC or records storage facility staff, who will ensure that the records are re-filed in the appropriate facility location.

(2) If the RMC permits "temporary" retrieval of records stored in a Department of Children and Families' storage facility, it is the RMC's responsibility to ensure that all records temporarily (30 days or less) retrieved are tracked and returned to storage.

4-6. Records Storage Facility Standards. Facility storage standards are based on Chapter 257, F.S., which requires the Department of State to develop standards for record keeping practices for all agencies. In complying with this requirement, the DOS Bureau has determined the optimal and minimal standards for off-site records storage operations and archival repositories. The types of

facilities available and budget considerations may prohibit the utilization of facilities that meet optimal standards; however, the RMC must ensure that any facility used for records storage protects records as much as possible.

Chapter 5

INVENTORY

5-1. Purpose. This chapter explains why it is necessary to have an inventory program within the Department, and how it is to be maintained.

5-2. General.

a. Chapter 119.021.3(d), F.S., mandates that “Public officials shall assist the division by preparing an inclusive inventory of categories of public records in their custody.” Proper management of the inventory data that the Department now has should preclude the necessity of future massive inventory efforts. It will require the ongoing efforts on the part of each RMC to update inventory information (preferably in a microcomputer data base) with the data from form CF 0107 (authorization to destroy records), form LS5E 107 (records disposition request) and form CF 1443 (records storage/transfer request) to properly manage the paper records created by the Department. Each RMC is responsible for ensuring that an up-to-date inventory is maintained and good records management is practiced.

b. Many offices are plagued with an excessive volume of paper because these offices keep records that do not need to be kept, or do not need to be kept on-site. This accumulation of paper is very expensive in terms of the higher cost of office space compared to the cost of off-site storage. An objective comparison of this expense to the actual value of the records usually discloses the following:

(1) Only one to two percent of all records are considered critical, i.e., absolutely necessary; and,

(2) About one-third of the records can be destroyed immediately, one-third can be transferred to off-site records storage, and only about one-third are needed for efficient day-to-day operations.

5-3. Disposition.

a. Records Lifecycle. Information is generated and transmitted in the normal course of business countless times during the working day. Records used by various offices and staff for action or information end up being filed and are subject to varying degrees of use (referencing) until the records become obsolete, superseded or the administrative value is lost. Continued filing in the office space is very costly when compared to disposal or off-site storage. Records and information program standards provide for the controlled disposition of records including inventory, evaluation, transfer to off-site storage, and certified disposal.

b. Inventory. Inventory is the process of counting and describing records in sufficient detail to show what records series we have, how many there are, and where and how the records are maintained. It is necessary to maintain an up-to-date Departmental (statewide, all-inclusive) records inventory in order to plan an effective and efficient records and information management system.

c. Evaluation. An evaluation of records is made for two primary reasons:

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

5-4. Inventory Process.

a. Taking a complete records inventory is the first step in the disposition process. There are five goals in conducting a comprehensive records inventory:

- (1) To determine the volume of records in cubic feet;
- (2) To classify records by title;
- (3) To assess the age of the records;
- (4) To determine the extent of duplicate records; and,
- (5) To determine how frequently the records are referenced.

b. The basic reasons for an inventory are to assist in the disposition of records for accurate retention and timely disposal, and to help develop a more efficient filing system through the elimination of duplicates, inactive records, or records which are no longer useful. The RMC should provide inventory forms and assistance in inventory planning, training, and technical assistance during an inventory to the File Custodian in the RMC's area of responsibility.

c. Managers must be involved in the inventory process to ensure understanding and approval of the procedures as well as to assist in scheduling workload to accommodate the time involved in the inventory process. The planning phase is followed by training of the staff who will be conducting the inventory. Scheduling an inventory should be coordinated with the various offices so that normal business can be continued with as little interruption as possible.

d. The RMC is responsible for evaluating the information. From the completed forms, the RMC can plan for off-site records storage space based on need over a three to five year period. The information can also be used to assist general services staff in planning space to accommodate growth or decrease in space required for filing equipment.

e. Conduct Inventory. Before a records inventory can be completed regardless of the method chosen, the following should take place:

- (1) The staff should plan all phases of the inventory and provide training for personnel involved. Schedule the inventory so it will cause the least possible disruption.
- (2) All staff involved should be as knowledgeable as possible of the organization of the Department, including the functional responsibilities of the operating units involved in the inventory. Any laws, statutes or federal regulations governing programs involved should be shared with the team members so that they understand the rationale for the collection and maintenance of information in a certain manner.

f. Inventory Form. The RMLO has developed a statewide required form to be used to conduct an inventory. The form is available on the ASG website. It contains the following required information:

- (1) Entity name (including Region number, if applicable);
- (2) Retention schedule number;
- (3) Series name;
- (4) Volume of records (in cubic feet);
- (5) Location of records (on-site or off-site location address, including unit name, building number or name, and room number);
- (6) Media type (P for paper, M for magtape, F for film, C for cassette, D for floppy disk);
- (7) Document type (C for record copy, D for Duplicate);
- (8) Inclusive dates (earliest date to latest date); and,
- (9) Contact person (including name and telephone number).

5-5. Consolidation. The information collected through the records inventory and the resulting analysis lead to:

- a. The description and volume of records which should be transferred to an off-site records storage facility;
- b. The description and volume of records which should be processed for destruction;
- c. The description and volume of records which need to be maintained for a specified length of time in office space; and,
- d. The amount of office space and filing equipment which will no longer be required through transfer and disposal actions.

Chapter 6

MICROGRAPHICS

6-1. General.

a. This chapter provides basic micrographics information to assess and analyze micrographics as a technological method or tool to manage and maintain records in an economical, usable format which will meet the standards and requirements of chapter 1B-26, F.A.C.

b. Additional technical information can be found in the Micrographics Handbook, State of Florida, Secretary of State. The DOS Bureau, Technical Services section, can also provide technical assistance in the micrographics field. Contact your RMC if you need assistance.

c. Records to be microfilmed should have a retention period of at least ten years. Exceptions to the ten year requirement will be addressed by the Office of General Services (ASG) on an individual basis.

6-2. Definition. Micrographics is the technology of reproducing records in a much reduced size. Micrographics includes microfilm, microfiche, computer output microfiche (COM), optical discs, etc.

6-3. Legality. The Uniform Photographic Copies of Business and Public Records as Evidence Act, chapter 92.29, F.S., provides for the legality of reproduced business records as evidence. In order to use micro-images as evidence, micrographics standards in Rule 1B-24. 003, F.A.C, must be met.

6-4. Basic Considerations to Microfilm.

a. Space and Equipment. Microfilming savings versus the cost and space of filing equipment should be calculated while the RMC is conducting a needs and cost analysis of a microfilm project. Always calculate these cost savings *after* the cost of microfilming has been deducted. Approximately 200 file drawers of letter-sized documents can be stored on microfilm in one standard ten-drawer microfilm cabinet. Floor space required for 200 file drawers can be reduced from four-hundred and eighty (480) square feet for paper documents to six (6) square feet for microfilmed records, a space savings of 98.75 percent.

b. Security. Information which has been determined to be critical (permanent or long term retention) must be microfilmed as insurance against loss by the hazards of natural disasters, fire, water, theft, etc. The paper records or duplicate film may then be retained by the originating office and a security copy of the film maintained in an approved records storage vault.

c. Preservation of Information.

(1) When records of permanent or long term retention start deteriorating due to poor quality paper stock, or fading because of the use of certain inks, microfilming may prove to be one of the most economical methods of preserving the information contained in the records. Information on permanent records which may have been damaged due to frequent use may also be saved through microfilming.

(2) Because of the complexities involved in restoration of archival documents, RMC's should consult with the Department's RMLO who will contact the DOS Bureau for assistance in determining the need for preservation of selected documentation or microfilming as an alternative.

6-5. Cost Factors.

a. Many offices discover the costs of microfilming exceed those originally estimated. This is primarily due to considering only those costs incidental to the actual microfilming work and the purchase price of the film. These items are only part of the expense of a microfilming project. To obtain a realistic estimate of the complete costs involved, all phases directly related to the project and all steps necessary to obtain a satisfactory product must be considered. Only after all cost factors have been included can the total microfilming costs be determined and compared with the cost of other procedures. Only then can the expense or savings be calculated as a determining factor for or against microfilming paper documentation.

b. Additional factors to be considered are the cost of office space, labor, equipment, film, and supplies required for processing and camera operation; preparing records for microfilming; inspecting and editing the finished film; correcting omissions and correcting non-readable frames; etc. Some costs are also incurred in maintaining and utilizing the microfilm file in accordance with Rule 1B-26, Florida Administrative Code.

c. Rule 1B-24, F.A.C., governs microfilming standards. In addition to those standards, the Department of State has determined it is always necessary to make a security copy of microfilm which

must be stored off-site in an approved records storage vault, certified and approved by the Department of State for the retention of microfilm.

d. The use of microfilm is limited by the read or read/print equipment acquired. Equipment for read only may be acquired for less than \$50.00, while reader/printers can cost tens of thousands of dollars. Usefulness of microfilm images and the necessary reading equipment must be considered when proposing a microfilming project.

6-6. Preparation of Records for Microfilming.

a. Even the simplest kind of file must be prepared for microfilming, if only to make sure that the documents are in a specific order. However, having "simple" files for microfilming is not the norm for the Department. If you have problems finding a file folder now, you will find it virtually impossible to retrieve film if the records were not properly prepared prior to filming.

b. All documents need to be arranged in folders to provide a uniform set-up. How you prepare your documents directly impacts on the quality of the microfilm product you'll receive. Staples, pins, paper clips, and other fasteners must be removed. Torn or damaged papers must be repaired and crumpled documents smoothed out. Documents smaller than letter-sized paper must be taped to letter-sized paper so that the images are uniform and appropriate for use with an automated sheet feed camera system.

c. Experience shows that in addition to the camera operator, at least one other person is required to do the "prep" work. Prepping one cubic foot of records usually takes one individual 2.5 to 3.5 hours. When there is more than minor prep work involved, it will probably require two or more persons prepping for each camera used. As a general rule of thumb, it will require three persons per camera per day when computing microfilming costs.

6-7. Standards and Requirements for Micrographics.

a. The basic standards found in Rule 1B-24, F.A.C., were developed by the National Archives and Records Services and published in the Code of Federal Regulations. Chapter 1B-26, F.A.C., is divided into two sections: microfilming permanent and microfilming non-permanent records.

b. Departmental records to be microfilmed must have a written, approved retention schedule with a retention period of 10 years or longer in order to be cost effective. However, exceptions to this standard will be addressed on an individual basis by your RMC, and must have prior approval of the RMLO.

c. Permanent records are those determined to have sufficient historical or other value to warrant continued preservation. Records with retention of 10 years or longer may be microfilmed as "permanent" records to ensure preservation and availability of information. Permanency requires original silver film to be processed in developer, fixer and wash as indicated in the standards. Original microfilm copies of permanent records will be used for reference purposes. Negative or positive duplicates of the original negatives will be used as working copies. An example of permanent records which are microfilmed are Vital Statistics records (such as birth and death certificates, etc.).

d. Non-permanent records have a specific retention period of less than 10 years and may only be microfilmed in accordance with Rule 1B-24, F.A.C. In order to film non-permanent records, a cost and needs analysis must be completed and the project approved by the Office of General Services (ASG).

Chapter 7

MONITORING STANDARDS

7-1. Purpose. This chapter provides staff with the methodology for records and information program monitoring by the RMLO, located in the Office of General Services (ASG).

7-2. Standards. The review of the records and information program will be accomplished by the RMLO using the established performance standards in CFP 15-1:

7-3. Monitoring Tools. CFP 15-1 is a list of general entrance interview questions and provide examples of monitoring tools which may be used. The tool is subject to change, but will always be forwarded to the RMC at least 30 days prior to a monitoring visit.

a. Documents which will be randomly sampled during the review include, but are not limited to:

(1) Log of requests to destroy records;

(2) RMC's permanent certified records disposition request forms;

(3) Administrative files;

(4) Purchase orders for equipment and/or services;

(5) Personnel records;

(6) Requests to transfer records to storage (CF 1443, or the records storage/transfer request used to transfer records to the State Records Center in Tallahassee); and,

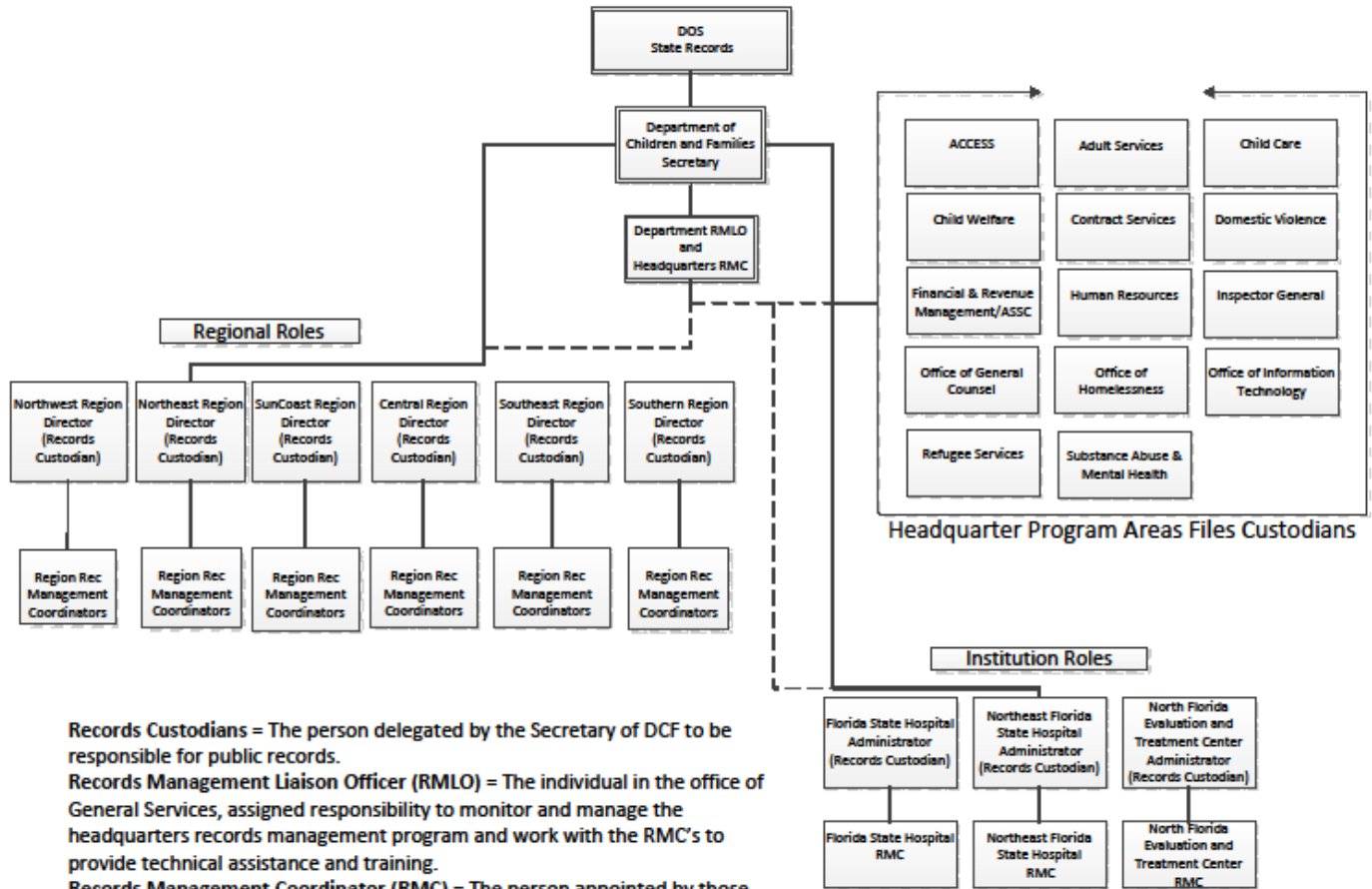
(7) Other documents (including, but not limited to, records management training records, and all documents concerning commercial records storage, if used).

b. Personal interviews will be conducted with the RMC, File Custodians and others as necessary to document and support compliance with standards. In all cases, entrance and exit interviews will be scheduled with the RMC's management team (including Regional Managing Director, and Manager for Administrative Services, RMC's immediate supervisor, etc.) to discuss and review standards and findings.

c. Monitoring reports will be forwarded to the RMC's management team within 45 days following a monitoring visit outlining standards and findings with recommendations provided.

7-4. Monitoring Schedule. Monitoring visits will be individually scheduled. The RMC will be provided 30 days advance notice of each monitoring visit.

FLOWCHART OF RECORDS MANAGEMENT ROLES



Records Custodians = The person delegated by the Secretary of DCF to be responsible for public records.

Records Management Liaison Officer (RMLO) = The individual in the office of General Services, assigned responsibility to monitor and manage the headquarters records management program and work with the RMC's to provide technical assistance and training.

Records Management Coordinator (RMC) = The person appointed by those designated by the Secretary (Records Custodian's) to be responsible for the management program within the areas respectively assigned to them.

File Custodian = The individual responsible for maintaining the specific official file(s) related to the work for which he or she is responsible.