



# FLORIDA DEPARTMENT OF JUVENILE JUSTICE PROCEDURE

**Title:** Records and Information Management Procedures

**Related Policy:** FDJJ - 1316

## I. DEFINITIONS

**Agency** - Any state, county, circuit, region, authority, or municipal office, 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.

**Authorized Signature** - Signatures of designated departmental officials authorized by the records custodian to sign records management forms.

**Confidential 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.

**Disposition Authorization** - Confirmation of the eligibility of a record to be destroyed after records have met retention requirements identified in the General Records Schedule or an Individual Retention Schedule.

**Electronic Mail** – The electronic transfer of information, typically in the form of electronic messages, memoranda, and attached documents, from a sending party to one or more receiving parties by means of an intermediate telecommunications system.

**Electronic Record** - Any electronically recorded data which is made or received pursuant to law or ordinance or in connection with the transaction of official agency business, or any material prepared in connection with official agency business which is intended to perpetuate, communicate or formalize knowledge of some type.

**General Records Schedules** - Retention requirements issued by the Bureau of Archives and Records Management to establish disposition standards for public records common to specified agencies within the State of Florida that state the minimum time such records are to be kept.

**Individual Records Schedules** - Retention requirements approved by the Bureau of Archives and Records Management and issued by DJJ to establish disposition standards for public records that are unique to the agency.

**Master (or Record) Copy** - Public records specifically designated to be kept as an official record.

**Public Records** - Section 119.011, Florida Statutes, defines public records as “ all documents, papers, letters, maps, books, tapes, photographs, forms, sound recordings or other material (excluding blank forms and library books), regardless of physical form or, made or received pursuant to law or ordinance or in connection with the transaction of business by the department.”

**Records Center** - A repository for the storage of agency records or most commonly used to identify the Florida State Records Center which is operated by the Secretary of State, Division of Library and

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Information Services, Bureau of Archives and Records Management, and is designed specifically for the storage and servicing of records on an at-cost basis. The State Records Center operates as an extension of the individual agency's record keeping system.

**Records Coordinator** - The person responsible for records management in every region, circuit, bureau and office operated by DJJ, including but not limited to detention centers, residential facilities, probation offices and assessment centers. This person has overall responsibility for the records program in their area and coordinates activities with the Records Custodian.

**Records Custodian** - The person responsible within a section for the maintenance, storage, retention, transfer and disposal of records, there should be at least one for each regional program area.

**Records Inventory** - The systematic categorization of records inside an agency; this is an inventory performed towards the development of retention periods for record series, or identification of record series described in the various general record schedules published by the Bureau of Archives and Records Management. The process of listing all documents in the possession of a section or office and maintaining an accurate record of their quantity and location.

**Records and Information Management Officer** - The person appointed by DJJ who is responsible for the administration of the agency's records management program. This position is legislatively mandated by section 257.36(5)(a), Florida Statutes.

**Record Series** - A group of related documents arranged under a single filing arrangement or kept together as a unit because they consist of the same form, relate to the same subject, result from the same activity, or have certain common characteristics.

**Retention** - The minimum length of time that a record must be maintained by DJJ. This time period may be affected by litigation, public records requests, accreditation standards and audits or other circumstances.

## **II. STANDARDS/PROCEDURES**

### **A. Statutory Requirements:**

1. Florida's public records law, section 257.36 (a), Florida Statutes mandates that each agency have a records management program to economically and efficiently manage their records.
2. The intent of the law is to maintain documentation for a specified length of time.
3. DJJ will maintain records based on administrative needs, audits, legal requirements and program requirements.
4. A comprehensive records management program ensures that needless documentation will not be created or kept and that valuable records will be preserved and available for use. This is accomplished through a system designed to provide for the economical and efficient creation, distribution, maintenance, retrieval, storage and disposition of records.

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### B. Records Inventory:

1. Records inventory is the process of counting and describing records in sufficient detail to show the records series on hand, how many there are, and where and how they are maintained.
2. 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. An accurate records inventory is useful after any disaster to easily identify damaged records.
3. The Records Coordinators are responsible for the inventory of their bureau, circuit, facility, office and region records.
4. The Records Coordinators shall be involved in the inventory process to assure understanding and approval of the procedures as well as to assist in scheduling time to accommodate the involved inventory process, along with their supervisors.
5. Scheduling an inventory of records shall be coordinated by Records Coordinators with the appropriate offices once every five (5) fiscal years.

### C. Records Retention Schedules:

1. A comprehensive records and information management program ensures that needless documentation will not be created or kept and that valuable records will be preserved and available for use. This is to be accomplished through a system designed to provide for the economical and efficient creation, distribution, maintenance, retrieval, storage, and disposition of records.
2. Retention schedules are designed to establish a specific length of time that the Department must maintain records and documents. The schedules also apply to contract providers acting on behalf of the department. A properly written schedule defines how long each copy should be maintained prior to requesting approval for destruction.
3. All documentation (paper or electronic records) requires scheduling which means it must be identified in one of the retention schedules before requesting permission to destroy the documentation.
4. The current records retention schedule (General Schedule for State and Local Government Agencies – **GS1-SL**) is located on the Department of State, Bureau of Archives and Records Management, Publications and Forms Website at: [http://dliis.dos.state.fl.us/recordsmgmt/gen\\_records\\_schedules.cfm](http://dliis.dos.state.fl.us/recordsmgmt/gen_records_schedules.cfm) and is available in Word or PDF format.
5. To add or change a records retention schedule the Records Coordinators shall use Department of State Form LS5E10R4, "Records Retention Schedule" (commonly referred to as a Form 105). This form is located on the above Website at: <http://dliis.dos.state.fl.us/recordsmgmt/publications.cfm> (first entry under "FORMS").

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6. Once completed, the form shall be returned to the DJJ Bureau of General Services, Records and Information Management Office and then forwarded to the Department of State.
7. After a requested change to the retention schedule is approved by the Department of State, Bureau of Archives and Records Management, it is returned to the DJJ Bureau of General Services, Records and Information Management Office where it will be distributed to each Records Coordinator in each office, facility, bureau, circuit or region.
8. The retention schedules are applicable until superseded or obsolete and a new schedule has been approved to take its place.

**D. Records Storage Process:**

1. It is more efficient and less expensive to store inactive records in an off-site (non-office space) records storage facility.
2. If records are stored locally it is the Records Coordinator's responsibility to ensure records in storage are monitored for destruction eligibility and that all forms are completed appropriately.
3. Records storage cartons for packing and transferring records to a storage facility are one cubic foot in size and identified "For Storage of Records."
4. The Records Coordinator in each office, facility, bureau, circuit or region shall complete the Transmittal and Receipt Form. It is used to provide documentation that the records have been stored in an off-site records storage facility and provides information on the specific location of the records within the storage facility for future reference of the records.
5. The Records Coordinator shall submit the completed Transmittal and Receipt Form to the DJJ Bureau of General Services, Records and Information Management Office for approval.
6. Records storage cartons shall be packed, labeled, and the Storage Request Form completed accurately prior to boxes being picked up for transport to storage.
7. Records storage carton labels are required whether a local storage facility or the State Records Center is used for storage of records.
8. Record Storage Box Labels, Transmittal and Receipt Forms can be obtained electronically from the Forms Library under the Bureau of General Services, Records. The Bureau of General Services, Records and Information Management Office can provide assistance in completing the forms.
9. The Bureau of General Services, Records Management and Information Officer shall review all requests and will approve only scheduled records for transfer or storage.
10. Records Storage Facility Standards are based on Chapter 257, Florida Statutes, which requires the Department of State to develop standards for record keeping practices for all agencies, standards for off-site records storage operations and archival repositories. Each Records

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Coordinator and Records Custodian should take care to ensure the facility protects the documentation properly.

E. Processing of Records Requests from the Department of State Record Storage Center:

1. The Records Coordinators are responsible for receiving and processing requests to inspect and or copy records.
2. A Request for Reference Service or Request for Return of Reference Service Work (both available in the Forms Library) shall be used to provide the Records and Information Management Officer with information to retrieve the requested records. The form must be completed by the Requester and processed through the Records and Information Management Officer.
3. Once the requested records are received, the Requester shall immediately acknowledge receipt by signing the work order from the Department of State Record Storage Center.
4. The Bureau of General Services, Records and Information Management Officer, shall provide assistance completing the requests for records from the Department of State Record Storage Center.
5. The Requester of the records is responsible for returning the records back to the Records and Information Management Office, when records are requested from the Record Storage Center.
6. The Records and Information Management Officer shall maintain a tracking system of all records that have been retrieved and returned.

F. Records Disposition Process:

1. The Records Coordinator will utilize the Records Disposition Document (available in the Forms Library) when requesting authorization to destroy documentation. This should be completed at least once a calendar year.
2. The request lists the individual schedule item number(s), provides the title as described on the schedule, provides inclusive dates and volume information and provides the Department with a mechanism to certify that all applicable audits (if any) has been released.
3. The Records Coordinator shall be responsible for utilizing the Records Disposition Document. The form must be typed and completed exactly in accordance with the instructions.
4. Upon completion, the form shall be forwarded to The Bureau of General Services, Records and Information Management Office for review before any action is taken.
5. Within sixty (60) days of disposition approval, the Records Coordinator shall send the completed Records Disposition Document to the Records and Information Management Officer to be retained (as the "copy of record" for the department) along with the certified copy of the destruction request as evidence of appropriate disposal. DJJ shall dispose of Public Records by incineration, or shredding.

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6. Regardless of the disposal method used for confidential documentation, the Records Coordinator is in charge of the disposition of the documentation and shall ensure that all safeguards are taken to maintain confidentiality.
7. In the event public records are determined to be missing due to inadvertent destruction, deliberate destruction, destroyed by disaster (flood, hurricane, fire), or lost (missing after diligent search reveals records to be unaccounted for), the Records Custodian must initiate a Records Disposition Document (located in the Forms Library) to clear the records from the inventory. The Records Disposition Document should explain the circumstances, which resulted in the records no longer being available for public inspection.
8. The completed Disposition Document is submitted to the Records and Information Management Officer for approval.
9. Within sixty (60) days of disposition approval, the Records Custodian must submit the completed form to the Records and Information Management Officer to be retained (as the "copy of record" for the department).

**G. Changing Media Format from Paper to Electronic:**

1. The Records Coordinator shall utilize the Records Disposition Document (available in the DJJ forms library) when requesting to change the media format of any record from paper to electronic.
2. The Records Disposition Document lists the individual schedule item number(s), provides the title as described on the schedule, provides inclusive dates and volume information and provides the department with a mechanism to certify that all applicable audits (if any) has been released.
3. The Records Disposition Document shall be typed and completed exactly in accordance with the instructions.
4. The Records Coordinator shall forward the Disposition Document to the DJJ Bureau of General Services, Records and Information Management Officer for review before any action is taken.
5. The Records and Information Management Officer shall ensure that the request complies with section 119.01(2)(a), Florida Statutes in regards to changing the media format of the record: "Automation of public records must not erode the right of access to those records. As each agency increases its use of and dependence on electronic recordkeeping, each agency must provide reasonable public access to records electronically maintained and must ensure that exempt or confidential records are not disclosed except as otherwise permitted by law."
6. If storing electronic records on hardware other than their personal computer, the Records Coordinator is responsible to verify the hardware is the most current available. This includes transferring records from diskettes to CDs, CDs to external hard drives, etc.

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7. Within sixty (60) days of approval for media format change, the Records Custodian must submit the completed form to the Records and Information Management Officer to be retained (as the "copy of record" for the department).

### **H. Storing E-mail:**

1. Pursuant to DJJ Policy 1220, it is the responsibility of the individual end users to maintain their e-mails in accordance with the Department of State retention requirements. This is best handled by archiving e-mails by the Record Series Title and retention period for which they are classified.

### **I. Disposition of Electronic Records and E-mails:**

1. Electronic records and E-mails will follow the same procedures set forth for the disposition of public records.

### **J. Health Records:**

1. Health Records may not be maintained together with the client's case file.
2. Health Records shall be maintained per the standards set forth in the Department of Juvenile Justice's Health Services Manual.
3. Health Records shall follow the client when transferred within the agency.

## **III. RESPONSIBILITY AND DUTIES**

### **A. Records and Information Management Officer**

1. The DJJ's Bureau of General Services, Records and Information Management Office will work with all DJJ program areas in an effort to ensure compliance with records and information management laws, policies, standards and procedures by:
  - a. Providing consultation, direction and technical assistance, as requested, in all facets of records and information management.
  - b. Designing, conducting and coordinating training in records and information management policy and procedures for DJJ staff on an as needed or requested basis.
  - c. Working with program offices in the monitoring and controlling the creation and maintenance of entity records according to established retention schedules.
  - d. Reviewing the Transmittal Form in accordance with records retention schedules and approving requests to transfer to a storage facility.
  - e. Reviewing the Disposition Request in accordance with records retention schedules and approving requests to destroy records.

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- f. Assisting all DJJ program offices with operational issues pertaining to off-site records center storage facilities.
- g. Conducting technical assistance visits, as needed or requested by each bureau, circuit or region to assist in the evaluating of ongoing records and information management programs.

**B. Records Coordinators**

- 1. To know which records are stored in their office, facility, bureau, circuit or region and maintain records storage documentation.
- 2. Coordinate and maintain all records inventories to establish their real value and the length of time they need to be retained pursuant to applicable schedules.
- 3. Coordinate all retrieval actions.
- 4. Coordinate advanced authorization requests to store records in an outside facility to efficiently utilize office files and records storage space.
- 5. Coordinate advanced authorization requests to destroy records in order to efficiently utilize office files and records storage space.
- 6. Responsible for receiving and processing requests to inspect and/or copy records.
- 7. Responsible for blocking out or removing confidential information from the record to be inspected and/or copied.

**IV. ATTACHMENTS N/A**