



RECORDS MANAGEMENT
and
DOCUMENT DISPOSITION
for the
DIVISION OF WASTE MANAGEMENT
FLORIDA DEPARTMENT OF ENVIRONMENTAL PROTECTION

February 29, 2008

Purpose

In the course of carrying out its mission the Florida Department of Environmental Protection (DEP), Division of Waste Management (DWM) has accumulated a vast quantity of paper. In an attempt to manage the paper, the Division has implemented an Electronic Document Management System (EDMS) using OCULUS™. This system reduces the space and costs required for temporary and long-term document storage, and makes it easier to search and retrieve documents

The EDMS ensures that all documents created and received by the Division are conveniently available in an organized manner and in an appropriate standardized location. Once entered into the EDMS and checked for quality assurance, the electronic copy of a document will be recognized as the “Record Copy”¹ or the official copy of that document for the Division of Waste Management. At that time, any paper copy of the document can be destroyed.

Whether in paper or electronic format, all state documents must be handled in accordance with Florida Law. The purpose of this Records Management and Document Disposition policy is to provide DWM management and staff with the information necessary to understand and comply with the Florida Public Records Law, including:

- The requirements for managing Division of Waste Management public records²
- The designation of a Records Coordinator for each Division/District³
- The development of an approved Records Retention Schedule⁴
- The Quality Assurance steps by which public records are processed to ensure that responses to public requests are organized, inclusive, and in compliance with applicable statutes and rules
- The development and implementation of a disposition policy that allows for the disposal of paper while maintaining the integrity of information necessary for the work of the Division of Waste Management⁵

In order to understand and control enterprise information, the lifecycle of a document must be managed from creation through disposition based on a developed business strategy. This business strategy is encompassed in the EDMS. An understanding of all aspects of records and their management is crucial for program staff to properly process documents and take full advantage of the tools provided by the EDMS.

Public Records

It is the Division of Waste Management’s responsibility to ensure that documents in its custody are maintained and managed as required by Florida Law. Florida’s Public Records Law provides that all materials made or received in connection with the Division’s official business are public

¹ 1B-24.001FAC

² 119 FS

³ DEP Directive 335

⁴ 1B-24.003 FAC and 257.36 FS

⁵ 119.01 FS

records. Florida Law also requires public records to be accessible and available to the public upon request. This applies to all public records of the Department of Environmental Protection regardless of the medium in which they exist, i.e., paper, electronic, or other forms. Requested public records may not be withheld for any reason except if the record or a portion thereof is specifically designated under law as confidential or exempt from public disclosure.⁶ Specifically DEP Directive 375 establishes and implements uniform guidelines for the public's right to inspect and obtain copies of records held by the agency as public information. Directive 375 can be found at www.dep.state.fl.us/admin/depdirs/pdf/375.pdf.

Records Coordinator

The management of records and the information contained therein is of vital importance to the business of the Division of Waste Management. Maintaining the integrity of that information is a trust endowed to the Division by the public as well as by the people who do the work of DWM. In order to uphold that trust to the highest standards a Records Coordinator must be appointed at the Division and District level to be the custodian of all records generated and accepted at that site. This coordinator should have an understanding of the importance and significance of the information for which they are the custodian. The person in this position will communicate and coordinate with staff in the Division or District Office, and will be the sole point of contact with the Records Management Liaison Officer for DEP. As the point of contact they alone will be given the authority to direct the process necessary to dispose of paper documents.

The following individuals are the appointed Records Coordinators for the waste program's public records:

- Division of Waste Management, Tallahassee – Nancy Kraeft
- Northwest District Office – Lynn Rotenberry
- Northeast District Office – Linda Parker
- Central District Office – Ruth McLemore
- Southwest District Office – Anna Brantley
- Southeast District Office – Deidra Miley
- South District Office – Regina Dick
- Office of General Counsel – Heather Chapman

Document Processing (QC/QA)

It is critical to ensure that information is captured accurately as it is entered into the EDMS. The process must be uniform, reliable, consistent and as automated as possible to negate the inevitable human error factor. To this end, the DWM has developed business processes whereby documents created and received by the Division are entered into the Electronic Document Management System, OCULUS™ in the same manner each time, and indexed in accordance with the Standard Indexing Taxonomy (Attachment B). Using established Quality Control (QC) steps throughout the defined business process ensures that information on documents is captured in a consistent manner. These clearly defined QC steps combine to provide the quality assurance

⁶ 119.07 FS

that all information entered into the EDMS, whether in the Tallahassee office or in any of the District Offices is accurate. The Quality Assurance (QA) business process is outlined in Attachment C.

Records Retention

Records management entails retention, storage, disposition, and all other record-keeping requirements that support Department programs, activities and operations, in order to best serve the public. All records created and maintained by the Department of Environmental Protection must have a records retention schedule approved by the State Library and Archives of Florida, Information Resources Management Section. Any records not covered by general records schedules must have an individual records retention schedule. Guidelines for the development and implementation of a records retention schedule can be found in the State of Florida Electronic Records and Records Management Practices manual at <http://dlis.dos.state.fl.us/barm/handbooks/electronic.pdf>.

The establishment of an approved Records Retention schedule is critical for the Division to be able to dispose of paper and electronic documents beyond their usefulness. Accordingly, such a schedule has been established and approved by Division and District program staff for all document types defined in the Standard Indexing Taxonomy (Attachment B) of the Electronic Document Management System, OCULUS™. This Retention Schedule is in compliance with “GS1-SL” which is the *General Records Schedule GS1-SL for State and Local Government Agencies* at http://dlis.dos.state.fl.us/recordsmgmt/gen_records_schedules.cfm.

Documents specific to DWM and not covered by the GS1-SL schedule are addressed by the Department’s Records Schedule at <http://depnet/admin/gs/records.htm>. More specifically, DEP Directive 335, Records Management, establishes uniform guidelines for the proper disposition and accountability for all records/documents created or received by the agency. Directive 335 can be found at www.dep.state.fl.us/admin/depdirs/pdf/335.pdf and as Attachment D.

Many of the record retention times for electronic copies of particular documents on the approved Standard Indexing Taxonomy far exceed the previous approved retention schedule for paper copies. Nonetheless, the Division chooses to take a more cautious position on electronic records retention initially, but will reassess all “permanent” record retention designations in the future and will make revisions to the schedule as needed.

Records Disposition

The benefits of a well managed records disposition plan include:

- Space savings
- Reduced expenditures for filing equipment and storage
- Increased efficiency in information search and retrieval
- Compliance with legal retention requirements
- Protection of vital records
- Identification of historical records

Florida Law requires that an Agency systematically dispose of public records that have met their retention requirements and are no longer needed.⁷ Information captured on records provides historical value to the Division's work and all information vital to this end should be retained. Therefore, retention time requirements start only after all administrative, legal, fiscal values and all performance and operational audits have been met. After that, the documents should be disposed of in the manner that is established by statute and rule. Paper documents may only be disposed of through the appointed Records Coordinators and with the approval of the Department's Records Management Liaison Officer (RMLO) following statutory and rule requirements.⁸

A records disposition document form is available from the State Library and Archives of Florida website at <http://dlis.dos.state.fl.us/barm/forms/Form201.PDF> and is attached as Attachment E. The Records Management Liaison Officer or Records Coordinator must permanently retain the completed disposition forms. DEP specific information on document disposition can be found in Directive 335, noted earlier under Records Retention. Guidelines for acceptance and implementation of document disposition can be found in the State of Florida Electronic Records and Records Management Practices manual at <http://dlis.dos.state.fl.us/barm/handbooks/electronic.pdf>.

The attached "Summary of Steps to Dispose of Paper Document" (Attachment F) outlines the QC/QA steps that must be followed in order for paper to be disposed of. This process is established as the standard for waste program documents handled by Tallahassee and the District Offices.

Conclusion

The statutes, rules and directives of the State of Florida noted in this document clearly define the process by which the Division of Waste Management may allow for the disposition of paper documents. Much attention and effort has been put into defining a policy that recognizes the importance of the information being created and captured by both internal and external users of DWM services. Due diligence has been shown by the Division to research and understand all aspects of public records, records management and Quality Assurance steps necessary in this process. The Division of Waste Management therefore establishes this document and its attachments as its Standard Operating Procedure for Records Management and Document Disposition.

⁷ 119.021 FS and 257.36 FS

⁸ 1B-24.001 FAC

Attachment B
Standard Indexing Taxonomy

<u>Final Document Types for DWM Common Profiles</u>	<u>ST</u>	<u>WC</u>	<u>HW</u>	<u>SW</u>	<u>Retention</u>
Administrative					
CERTIFIED and E-MAIL RECEIPT	Yes	Yes	Yes	Yes	5 Fiscal Years
CONTRACTOR DESIGNATION RELATED	Yes				5 Fiscal Years
CONTRACTOR QUALIFICATION RELATED	Yes				5 Fiscal Years
DELEGATION RELATED				Yes	5 Fiscal Years
FIELD WORK NOTIFICATION	Yes	Yes			5 Fiscal Years
FILE QA	Yes	Yes			Administrative Support Records - OSA
IMMINENT THREAT INFORMATION	Yes				5 Fiscal Years
INCOMING CORRESPONDENCE	Yes	Yes	Yes	Yes	5 Fiscal Years
MEETING RELATED	Yes	Yes	Yes	Yes	5 Fiscal Years
MISCELLANEOUS	Yes	Yes	Yes	Yes	5 Fiscal Years
OFFSITE NOTICE RELATED	Yes	Yes	Yes	Yes	5 Fiscal Years
OUTGOING CORRESPONDENCE	Yes	Yes	Yes	Yes	5 Fiscal Years
PUBLIC INFORMATION REQUEST	Yes	Yes	Yes	Yes	5 Fiscal Years
REQUEST FOR ADDITIONAL INFORMATION	Yes	Yes	Yes	Yes	5 Fiscal Years
SCORING CHECKLIST-PACKET	Yes				Permanent
SITE ACCESS RELATED	Yes	Yes	Yes	Yes	5 Fiscal Years
SITE CHRONOLOGY	Yes	Yes	Yes	Yes	Permanent
TIME EXTENSION	Yes				5 Fiscal Years
Cleanup					
ALTERNATE PROCEDURE RELATED	Yes	Yes	Yes	Yes	Permanent
APPROVAL RELATED	Yes	Yes	Yes	Yes	Permanent
AS-BUILTS	Yes	Yes	Yes	Yes	Permanent
CERCLA SITE EVALUATIONS		Yes	Yes	Yes	Permanent
CLEANUP REFERRAL PACKET	Yes				Permanent
COMMUNITY RELATIONS	Yes	Yes	Yes	Yes	Permanent
COMPLETION RELATED	Yes	Yes	Yes	Yes	Permanent
DECISION MEMO ROD		Yes			Permanent

DOCUMENT LATE NOTICE	Yes	Yes	Yes	Yes	Permanent
INCOMING CORRESPONDENCE	Yes	Yes	Yes	Yes	Permanent
MEETING RELATED	Yes	Yes	Yes	Yes	Permanent
MISCELLANEOUS	Yes	Yes	Yes	Yes	Permanent
MONITORING PLANS AND REPORTS RELATED	Yes	Yes	Yes	Yes	Permanent
NPDES RELATED	Yes	Yes			Permanent
OPERATION AND MAINT - REMEDIAL ACTION RPT RELATED	Yes	Yes	Yes	Yes	Permanent
OUTGOING CORRESPONDENCE	Yes	Yes	Yes	Yes	Permanent
PERFORMANCE BASED CLEANUP (PBC) RELATED	Yes				Permanent
PERMITS-PERMIT VARIANCES		Yes	Yes		Permanent
PILOT-FEASIBILITY STUDY	Yes	Yes		Yes	Permanent
POTABLE WELL SURVEY-SAMPLING		Yes	Yes	Yes	Permanent
QUALITY ASSURANCE RELATED	Yes	Yes	Yes		Permanent
RESCISSION RELATED	Yes	Yes	Yes	Yes	Permanent
REMEDIAL ACTION PLAN RELATED	Yes	Yes	Yes	Yes	Permanent
REQUEST FOR ADDITIONAL INFORMATION	Yes	Yes	Yes	Yes	Permanent
REVIEW COMMENTS	Yes	Yes	Yes	Yes	Permanent
RISK ASSESSMENT	Yes	Yes	Yes	Yes	Permanent
SIS REPORT	Yes	Yes	Yes	Yes	Permanent
SIS REQUEST FOR ASSISTANCE	Yes	Yes	Yes	Yes	Permanent
SITE ASSESSMENT RELATED	Yes	Yes	Yes	Yes	Permanent
SITE MAPS-SKETCHES-DRAWINGS	Yes	Yes	Yes	Yes	Permanent
SITE PHOTOS	Yes	Yes	Yes	Yes	Permanent
SOURCE REMOVAL RELATED	Yes	Yes	Yes	Yes	Permanent
SITE VISIT RELATED	Yes	Yes	Yes	Yes	Permanent
TARGETED BROWNFIELDS ASSESSMENT		Yes	Yes	Yes	Permanent
TIME EXTENSION	Yes	Yes	Yes		Permanent
WASTE MANIFESTS		Yes			Permanent
WELL ABANDONMENT RELATED	Yes	Yes	Yes	Yes	Permanent
Confidential_Fiscal_XX (XX = ST,HW,WC,SW)	Yes	Yes	Yes	Yes	
FINANCIAL REVIEW LETTER	Yes	Yes	Yes	Yes	Permanent
FINANCIAL REVIEW PACKET	Yes	Yes	Yes	Yes	Permanent

FINANCIAL ASSURANCE RELATED			Yes	Yes	Permanent
Discovery_Compliance					
ALTERNATE PROCEDURE RELATED	Yes				Permanent
CLEANUP INITIATION RELATED	Yes	Yes			Permanent
CLOSURE RELATED	Yes		Yes	Yes	Permanent
COMPLAINT RELATED	Yes	Yes	Yes	Yes	Permanent
DISCHARGE REPORTING RELATED	Yes	Yes	Yes		Permanent
ETHANOL-BIODIESEL	Yes				5 Fiscal Years
FUEL AVAILABILITY	Yes				5 Fiscal Years
INCOMING CORRESPONDENCE	Yes	Yes	Yes	Yes	5 Fiscal Years
INSPECTION RELATED	Yes	Yes	Yes	Yes	Permanent
INSTALLATION RELATED	Yes				Permanent
MEETING RELATED	Yes	Yes	Yes	Yes	5 Fiscal Years
MINERAL ACID RELATED	Yes				Permanent
MISCELLANEOUS	Yes	Yes	Yes	Yes	5 Fiscal Years
MONITORING PLANS AND REPORTS RELATED			Yes	Yes	Permanent
NONCOMPLIANCE RELATED	Yes	Yes	Yes	Yes	Permanent
OUTGOING CORRESPONDENCE	Yes	Yes	Yes	Yes	5 Fiscal Years
PERIODIC SITE REPORTS			Yes	Yes	Permanent
POTABLE WELL SURVEY-SAMPLING	Yes	Yes	Yes	Yes	Permanent
RELEASE DETECTION RELATED	Yes				Permanent
REPAIRS-MAINTENANCE RELATED	Yes				5 Fiscal Years
REQUEST FOR ADDITIONAL INFORMATION	Yes	Yes	Yes	Yes	5 Fiscal Years
SITE MAPS-SKETCHES-DRAWINGS	Yes	Yes	Yes	Yes	Permanent
SITE PHOTOS	Yes	Yes	Yes	Yes	Permanent
TANK SYSTEM EQUIPMENT APPROVAL	Yes				5 Fiscal Years
TERMINAL-BUNKERING RELATED	Yes				5 Anniversary Year(s) After Expiration or Next Inspection
TIME EXTENSION	Yes	Yes	Yes		5 Fiscal Years
WASTE MANIFESTS			Yes		Permanent
Eligibility					
APPLICATION INSUFFICIENCY LETTER		Yes			Permanent
BROWNFIELDS AGREEMENTS		Yes			Permanent

CPA REPORT		Yes			Permanent
DECISION	Yes	Yes			Permanent
DSCP APPLICATION FORM		Yes			Permanent
ELIGIBILITY PACKET RELATED	Yes	Yes			Permanent
INCOMING CORRESPONDENCE	Yes	Yes			Permanent
INVOICE PACKETS		Yes			Permanent
MEETING RELATED	Yes	Yes			Permanent
MISCELLANEOUS	Yes	Yes			Permanent
OUTGOING CORRESPONDENCE	Yes	Yes			Permanent
PROFESSIONAL SERVICES AGREEMENT		Yes			Permanent
REQUEST FOR ADDITIONAL INFORMATION	Yes				Permanent
REVIEW-CHECKLIST MATERIALS		Yes			Permanent
SITE SCORE SHEETS		Yes			Permanent
SITE SCREENING REPORT		Yes			Permanent
STATE INITIATION PACKAGE		Yes			Permanent
TAX CREDIT APPLICATION		Yes			Permanent
TIME EXTENSION	Yes				Permanent
Enforcement_Legal (Standard Catalogs only)					
CASE CLOSURE RELATED	Yes	Yes	Yes	Yes	Permanent
CIVIL COMPLAINT RELATED	Yes	Yes	Yes	Yes	Permanent
CONSENT ORDER	Yes	Yes	Yes	Yes	Permanent
FINAL JUDGEMENT	Yes	Yes	Yes	Yes	Permanent
FINAL ORDERS	Yes	Yes	Yes	Yes	Permanent
INCOMING CORRESPONDENCE	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
INTERROGATORY	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
JUDICIAL CONSENT DECREE	Yes	Yes	Yes	Yes	Permanent
LEGAL CASE TRACKING RELATED	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
LIEN-BANKRUPTCY-COST RECOVERY RELATED	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
MEETING RELATED	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
MISCELLANEOUS	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
NOTICE OF VIOLATION	Yes	Yes	Yes	Yes	Permanent
OUTGOING CORRESPONDENCE	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
PENALTY AUTHORIZATION RELATED	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES

REFERRAL PACKET RELATED	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
REQUEST FOR ADDITIONAL INFORMATION	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
RESTRICTIVE COVENANTS-DEED RESTRICTIONS	Yes	Yes	Yes	Yes	Permanent
SITE ACCESS ORDERS	Yes	Yes	Yes	Yes	Permanent
SITE VISIT RELATED		Yes			5 Years After Case Closed LITIGATION CASE FILES
TIME EXTENSION	Yes	Yes	Yes	Yes	5 Years After Case Closed LITIGATION CASE FILES
VOLUNTARY CLEANUP AGREEMENT RELATED	Yes	Yes	Yes	Yes	Permanent
VARIANCE RELATED	Yes	Yes			Permanent
WARNING LETTER	Yes	Yes	Yes	Yes	Permanent
Enforcement_Legal_Special (Restricted Catalogs)					
ADMINISTRATIVE PETITIONS-HEARINGS RELATED	Yes	Yes	Yes	Yes	Permanent
ATTORNEY-CLIENT PRIVILEGE RELATED	Yes	Yes	Yes	Yes	Permanent
CASE REPORT	Yes	Yes	Yes	Yes	Permanent
CIVIL COMPLAINT RELATED	Yes	Yes	Yes	Yes	Permanent
DEDUCTIBLE INFORMATION		Yes			Permanent
DEPT OF REVENUE (DOR) CORRESPONDENCE		Yes		Yes	Permanent
ELIGIBILITY REVOCATION		Yes			Permanent
SETTLEMENT AGREEMENTS-NEGOTIATIONS-STIPULATIONS	Yes	Yes	Yes	Yes	Permanent
VOLUNTARY CLEANUP AGREEMENT RELATED	Yes	Yes	Yes	Yes	Permanent
Fiscal					
ABILITY TO PAY RELATED	Yes		Yes	Yes	Permanent
BID PROJECT RELATED	Yes				5 Fiscal Years
PROPOSAL RELATED	Yes				5 Fiscal Years
COLLECTION-REFUND-WRITE OFF RELATED	Yes	Yes	Yes		Permanent
COST ESTIMATE RELATED			Yes	Yes	5 Fiscal Years
COST SHARE AGREEMENT RELATED	Yes				Permanent
DEDUCTIBLE INFORMATION	Yes	Yes			5 Fiscal Years
FINANCIAL RESPONSIBILITY	Yes	Yes	Yes	Yes	Permanent
GRANT APPLICATIONS-AGREEMENTS				Yes	5 Fiscal Years - After Completion of Grant Cycle
GRANT REIMBURSEMENT REQUESTS				Yes	5 Fiscal Years - After Completion of Grant Cycle
INCOMING CORRESPONDENCE	Yes	Yes	Yes	Yes	5 Fiscal Years
INVOICE RELATED	Yes	Yes			5 Fiscal Years - After Contract Termination

MEETING RELATED	Yes	Yes	Yes	Yes	5 Fiscal Years
MISCELLANEOUS	Yes	Yes	Yes	Yes	5 Fiscal Years
NPDES PAYMENT RELATED	Yes	Yes			5 Fiscal Years
OUTGOING CORRESPONDENCE	Yes	Yes	Yes	Yes	5 Fiscal Years
PENALTY RELATED	Yes	Yes	Yes	Yes	Permanent
PERFORMANCE BASED CLEANUP (PBC) RELATED	Yes				5 Fiscal Years
PETROLEUM CLEANUP EQUIPMENT - PROPERTY FORM	Yes				5 Fiscal Years
PETROLEUM CLEANUP PARTICIPATION PROGRAM	Yes				Permanent
PRE-APP ADVANCE CLEANUP RELATED	Yes				Permanent
PROPERTY NUMBER INFORMATION	Yes	Yes			5 Fiscal Years - After Equipment is Out of Service or Salvage
REQUEST FOR ADDITIONAL INFORMATION	Yes	Yes		Yes	5 Fiscal Years
REVIEW FEE INFORMATION		Yes			5 Fiscal Years
SSC-COOPERATIVE AGREEMENT		Yes			5 Fiscal Years - After Contract Termination
TAX CREDIT CERTIFICATE		Yes			Permanent
UTILITY RELATED	Yes	Yes			5 Fiscal Years
WASTE TIRE CONTRACTS				Yes	5 Fiscal Years
WORK ORDER-TASK ASSIGNMENT RELATED	Yes	Yes		Yes	5 Fiscal Years - After Contract Termination
Permitting_Authorization					
ALTERNATE INITIAL COVER RELATED				Yes	Permanent
ALTERNATE PROCEDURE - VARIANCE RELATED			Yes	Yes	Permanent
BENEFICIAL USE RELATED				Yes	Permanent
DISASTER DEBRIS STAGING AREA RELATED				Yes	Permanent
EPA GENERATOR ID LETTER		Yes			Permanent
HAZARDOUS WASTE GENERATOR RELATED		Yes	Yes		Permanent
HAZARDOUS WASTE TRANSPORTER RELATED			Yes		Permanent
INCOMING CORRESPONDENCE			Yes	Yes	5 Anniversary Year(s) After Expiration or Next Issuance
INTENT TO ISSUE-DENY RELATED			Yes	Yes	Permanent
LANDFILL REUSE RELATED				Yes	Permanent
MEETING RELATED			Yes	Yes	Permanent
MERCURY HANDLER RELATED			Yes		Permanent
MISCELLANEOUS			Yes	Yes	5 Anniversary Year(s) After Expiration or Next Issuance

OPERATIONS RELATED			Yes		Permanent
OUTGOING CORRESPONDENCE			Yes	Yes	5 Anniversary Year(s) After Expiration or Next Issuance
PERMIT APPLICATION RELATED			Yes	Yes	Permanent
PERMIT ISSUED-DENIED RELATED			Yes	Yes	Permanent
TANK REGISTRATION RELATED	Yes				Permanent
USED OIL HANDLER RELATED			Yes		Permanent
WASTE TIRE AUTHORIZATION RELATED				Yes	Permanent
YARD TRASH REGISTRATION RELATED				Yes	Permanent
Reimbursement (Tanks Only ...)					
APPLICATION INSUFFICIENCY LETTER	Yes				5 Fiscal Years
APPLICATION REVIEW ROUTING SLIP	Yes				5 Fiscal Years
AUDIT INFORMATION	Yes				5 Fiscal Years
FINAL REIMBURSEMENT ORDER	Yes				5 Fiscal Years
FINANCIAL AND ACCOUNTING DOCUMENT	Yes				5 Fiscal Years
INTEREST PAYMENT MATERIALS	Yes				5 Fiscal Years
MISCELLANEOUS	Yes				5 Fiscal Years
REIMBURSEMENT APPLICATION-CORRECTED PAGES	Yes				5 Fiscal Years
REVIEW-CHECKLIST MATERIALS	Yes				5 Fiscal Years
SETTLEMENT INFORMATION	Yes				5 Fiscal Years
SITE INSPECTION RELATED	Yes				5 Fiscal Years
SUPPLEMENTAL PAYMENT REQUEST	Yes				5 Fiscal Years
TIME EXTENSION	Yes				5 Fiscal Years

Attachment C

Quality Assurance Business Process

1. Open and login to OCULUS using your Login ID and Password. Click the Search icon on the OCULUS Toolbar to open the search screen.
2. Select the appropriate Catalog and Profile that pertain to your document. Enter the Facility-Site ID into the appropriate field and select Search.
3. OCULUS will refresh with your search results. Select the Document Date header to arrange the results in date order.
4. Select your document by clicking inside the circle to the left of the document's information. Select View from the Operations Menu to open the document in your default imaging software (Microsoft Office Document Imaging).
5. Quality Control the entire document by performing a check of random pages including the first several pages, a middle page and the last page to verify completeness of the electronic copy. Validate indexing data and make corrections as needed to the electronic copy. Please verify that the following requirements are maintained throughout each document.*
 - Document scanned in Tiff file format, at 300 DPI, in Black & White.
 - Pages are rotated correctly to ease the viewing process.
 - Background noise is kept to a minimum (black lines, gray fuzz, etc.).
 - Information is legible on each page.
6. If the electronic document is complete, close the imaging software and return to OCULUS.
7. If the electronic document is incomplete, select Check Out from the Operations Menu in OCULUS to open the document in OCULUS Imaging. This allows you to rescan in a different format or at a darker setting, or rotate the necessary pages. Once you have corrected the document in OCULUS Imaging, please be sure to Check In the document to OCULUS to save the changes.
8. Determine whether the following fields were correctly indexed in OCULUS.
 - Catalog, Profile
 - County, Facility-Site ID
 - Document Date, Received Date
 - Document Type, Contractor ID
 - Facility Type, Document Subject
9. If fields are correct, proceed to the next step.
10. If fields are incorrect, select Modify Index from the Operations Menu, and then select the Edit icon. Make the necessary changes to the incorrect field(s) and be sure to complete all required fields. Select the Commit icon on the Modify Index Page, and then select the OK icon to accept your changes.
11. Once the quality assurance process on the document is complete, stamp the first page of the actual document (not the separator sheet) using the OCULUS stamp provided. Please stamp in a blank

area of the page so you do not corrupt any of the information. Initial and date the stamped document and place in a completed box.

12. Proceed to the next document and repeat the process beginning at Step 2.

*Requirements were made effective March 1, 2006. Documents scanned before the effective date may be scanned in 200 DPI and contain rotated pages.

Attachment F

Summary of Steps to Dispose of Paper Documents

1. Documents received by the waste programs should go to the appropriate document management center (DMC) for processing. Back files will need to be pre-indexed before scanning.
 - **Tallahassee** – Documents coming into the DWM go directly to the person or team assigned to the facility/case. They in turn complete the necessary business required by the document. The document is then Pre-Indexed and sent to the DMC for scanning and QC/QA.
 - **Districts** – Documents go directly to the DMC for scanning or go to the Program Area for Pre-Indexing and then to the DMC for scanning and QC/QA.

2. Documents entering the DMC must follow these Quality Control Steps for the electronic copy to be considered the “Record Copy” for the Division of Waste Management:
 - **Prep** – Documents are prepared for scanning. (Remove staples, binders, clips, etc. Check that any raised seals are shaded. Count pages and check for any double sided pages or photographs.) Note any special instructions on Pre-Indexing coversheet. The paper document is then passed to the Scan queue.
 - **Scan** – Documents are imaged into the approved electronic document management system in the statutorily required format. Page by page comparison of paper image with new electronic image is completed to assure all pages are legible and scanned properly. Paper document is passed to the Quality Control queue.
 - **Quality Control** – Page by page comparison of paper and electronic document is completed, preferably by a different “set of eyes”. If discrepancies are found or corrections are needed they will be noted and the entire batch will be sent back to the Scan step for necessary modification. If no errors are found, paper document continues to Index queue.
 - **Index** – Batch will be opened for Validation. If document is **not** Pre-Indexed, the Index information will be entered into the Index fields using information found on the document. If the document is Pre-Indexed (by subject matter expert) the information populated in the Index fields from the Pre-index coversheet will be verified for accuracy. Paper document is passed to the QA queue.

- **Release** – Documents are entered into the OCULUS™ Electronic Document Management System automatically during non work hours and on an established schedule.
 - **Quality Assurance** – Electronic copy is opened in OCULUS™ to confirm that the paper document made it through release. A check of random pages including the first several pages, a middle page and the last page is made to verify completeness of the electronic copy. Validate indexing data and make corrections as needed. Stamp the paper document to indicate that document has passed Quality Assurance and is entered into OCULUS™. Paper document is then stored for Disposition.
3. Paper document is now considered a duplicate and may be disposed of by the Records Coordinator following DEP Directive 335.