Approved:

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Office: Forms and Procedures
Topic No. 025-020-002-j

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Department of Transportation

STANDARD OPERATING SYSTEM

PURPOSE:

To establish a uniform system for developing, maintaining, and providing access to the Florida Department of Transportation's (Department) procedural documents (policies, procedures, directives, and manuals). The collection of these documents is known as the Department's Standard Operating System. These documents are necessary to help ensure consistent, predictable, and repeatable departmental programs.

AUTHORITY:

Sections 20.23(4)(a) and 334.048(3), Florida Statutes (F.S.)

SCOPE:

All District and Central Office units of the Florida Department of Transportation.

REFERENCES:

Procedure No. 025-020-009, Topic and Subtopic Numbers
Procedure No. 050-030-001, Form Development and Control

GENERAL:

Section 20.23(4)(a), F.S., provides that the Central Office shall establish Department policies, rules, and procedures and shall monitor their implementation of such in order to ensure uniform compliance and quality performance by the District and Central Office units that implement transportation programs.

With respect to accountability, ***Section 334.048(3), F.S.***, provides that the Central Office shall adopt policies, rules, and procedures which are necessary for the Department to function properly, including establishing accountability for all aspects of the Department's operations.

Sections 23.20, 23.21, and ***23.22, F.S.***, provide that state agencies must reduce the paperwork burden on citizens, private sector organizations, and local governments. Paperwork reduction is aimed at eliminating unnecessary and duplicative paperwork and information submission requirements. It is not just an effort to reduce use of paper. In keeping with the intent of the statute, the processes defined in Department procedural documents should be considered carefully to help ensure that paperwork is kept to a minimum.

TRAINING:

There is no training mandated for the implementation of this procedure or by the statutes identified as the authority for this function.

The Forms and Procedures Office utilizes online tutorials, quick reference guides, and ***Help and Tips*** pages on the Infonet for training purposes.

FORMS:

Forms 025-020-12, Preliminary Review Routing Sheet, and ***025-020-15, Executive Review Routing Sheet,*** are incorporated into the ***Online Procedure Review System*** and are available from the Forms and Procedures Office site on the Infonet at:

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

These forms are also available in PDF format from the ***Forms Page*** on the Infonet.

Form No. 025-020-19, Standard Operating System Request (SOS Request), is available for online completion and submittal from the Forms and Procedures site on the Infonet at:

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

AN OVERVIEW

The Procedural Development / Revision Process

The Department has developed an on-line procedure development and review process that allows each office to electronically distribute their draft procedural documents to user offices and obtain their input during the development/revision process. Use of the on-line review process is mandatory (with the exception of the Office of General Counsel (OGC)) and will allow the Department to develop policies, procedures, and manuals that are both effective and properly coordinated with all offices affected by the document. The Forms and Procedures Office is the office responsible for the procedure development process.

Below is a brief overview of the procedure development and revision process that will aid in understanding the various steps explained in subsequent sections of this procedure.

- Responsible offices draft procedural documents (policies, procedures, and manuals) and revise them periodically. Forms integrated as a part of procedural documents are reviewed and updated during the process.

- During the formal review period for a new or substantively changed procedural document, the draft document is uploaded by the responsible office for on-line review and comment ("Preliminary Review for Districts and End Users"). The responsible office sends a notice to affected offices including the Office of General Counsel (OGC), Office of Comptroller (OOC), and Office of Inspector General (OIG). Affected office users have two weeks to submit comments.

- As user comments are posted on-line, the responsible office will contact users to reconcile comments with the draft. The goal is to ensure that appropriate user comments are included in the final draft of the procedural document. Upon conclusion of the online-review, the responsible office will provide the Forms and Procedures Office with the final draft.

- Once consensus has been reached between the responsible office and affected office users, the procedural document is routed by the Forms and Procedures Office to the OGC. After OGC has coordinated recommended changes with the responsible office, the document with changes will be returned to the Forms and Procedures Office for processing. The OGC has two weeks for its review.

- The final draft with OGC changes is uploaded to the online procedure review system by the Forms and Procedures Office for Executive Review. The Forms and Procedures Office sends notice to the Executive Team. The Executive Team has 2 weeks to submit comments.

- Upon review by the Executive Team, the Forms and Procedures Office places the document on the Workshop Agenda for approval and signature by the Secretary or other designated authority. Upon signing, the procedural document is effective and implemented statewide.

    - Total review time: Two months.

NOTE: *If there is significant disagreement between the responsible office and affected office users or other offices impacted by processes referenced in the procedural document, steps in the review process may be repeated until resolution is obtained.*

- Procedures and manuals are scheduled for review every two years or may be updated earlier, if needed. Policies are reviewed annually.

- There are occasions when circumstances dictate an immediate change of a Department policy (a statute change, audit, etc.). In those circumstances, a directive is drafted by the responsible office and coordinated with the OGC and other pertinent offices. The directive is then routed by the Forms and Procedures Office for authorized signature. A directive is effective for only one year, during which time the responsible office must begin the standard procedure development/review process explained above.

    - Total review time: One week or less.

- Subsequent sections of this procedure will define various terms used throughout, and will explain in greater detail, the steps involved in the development/revision process.

Note: *Minor revisions to procedural documents do not substantively alter established processes. However, minor revisions will be uploaded by the responsible office to allow a two week review period to determine if there are any unanticipated major impacts. This review is followed by a two week review by the OGC, and executive approval and signature. [See* ***Section 7.3.2.1(A)****]*

- Total review time: Four weeks or less.

Section 1
ACRONYMS AND DEFINITIONS

AUTHORITY: Federal and state statutes, regulations, or rules that give the Department the responsibility or authority over the subject of a procedural document and related forms.

CONTACT PERSON: A person designated by the responsible office for developing, revising, and coordinating review of a procedural document.

DIRECTIVE: A temporary procedure or other document of the Standard Operating System (normally effective for 12 months). A directive may either introduce a new practice or process, or modify an existing practice or process.

EDITORIAL CHANGE: Corrections such as grammar, punctuation, spelling, and formatting.

EXECUTIVE TEAM: The Executive Team provides a forum to address statewide issues, such as policies, procedures, annual legislative package, and Florida Transportation Plan (FTP). Membership includes the Secretary of Transportation, Assistant Secretaries, District Secretaries, and the Executive Director of Turnpike Enterprise. The Secretary receives input from the Executive Team in establishing policy and directing matters related to the operation of the Department.

EXECUTIVE TEAM STAFF: The Executive Team Staff is the executive forum for policy and procedure discussion and refinement; serves as a forum for statewide operational issue discussion for senior Department leadership; monitors key performance indicators for the Department; and deploys Executive Team decisions. Membership includes the Assistant Secretaries, District Secretaries, State Highway Engineer, State Transportation Development Administrator, State Freight and Logistics Administrator, General Counsel, Comptroller, Director of Transportation Support, Director of Office of Work Program and Budget, Inspector General, Legislative Programs Administrator/Chief of Staff, Chief Information Officer, Director of Turnpike Enterprise, Director of Rail Enterprise, Communications Director, and Federal Programs Coordinator.

EXECUTIVE LEVEL MANAGERS: Senior management positions at director level or above.

EXHIBIT: Figure, drawing, or other document included as an attachment to a procedural document.

FORM: Defined in ***Procedure No. 050-030-001, Form Development and Control***, as any document used to collect or convey information, regardless of medium, that has blank spaces for the insertion of information.

HANDBOOK: Technical instructions or techniques used to assist or train users in performing specific functions (see ***Section 13***, ***Handbooks***).

LOCAL PROCEDURES: Local (desk) procedures and district procedures and handbooks are not considered part of the Department's Standard Operating System. However, **Section 12** addresses some requirements regarding local and district procedures.

MANUAL: Used to publish and consolidate Department policies, procedures, or directives for a functional area when it is beneficial to organize the information into chapters or sections. A manual may include a combination of procedures or directives covering a functional area.

MANUAL ADOPTION PROCEDURE: The introduction or first chapter or section of a manual and is used by the Executive Team and the Secretary to approve the issuance and control of the manual. This procedure sets forth the purpose, authority for the functional area covered, and specifications for control and any unique requirements for the manual.

MANUAL REVIEW STAFF: Representatives with expertise in the subject matter who facilitate the development and management of a Department manual. Manual Review Staff are usually used for technical manuals, such as in the areas of planning and engineering. Manual Review Staff are established in the ***Manual Adoption Procedure***.

POLICY: A statement of principle, intent, position, plan, or course of action which governs and guides the Department's administration of its operations and programs.

PROCEDURAL DOCUMENTS: Policies, procedures, directives, and manuals. The combination or collection of these documents is known as the Department's Standard Operating System.

PROCEDURE: Specific internal operating requirements and instructions prescribing responsibilities, methods, processes, and schedules for activities.

PROCEDURES ADMINISTRATOR: Manager of the Forms and Procedures Office.

PROCEDURES BULLETIN: Periodic notice issued by the Forms and Procedures Office providing a listing of new, revised, or obsolete procedural documents. Users may access the bulletin by clicking on ***"Procedure Reports"*** from the Forms and Procedures Infonet home page, and select "***Procedures Bulletin***."

PROCEDURES INFORMATION MANAGEMENT SYSTEM (PIMS): A computerized inventory system commonly referred to as the "Procedures Tracking System" which is maintained by the Forms and Procedures Office to inventory and track the status of the Department's procedural documents.

PROCEDURES ONLINE REVIEW SYSTEM: A site on the Infonet which facilitates the review process of draft procedural documents.

RESPONSIBLE OFFICE: The office with responsibility for the functions covered by a procedure, manual, or other document of the Standard Operating System. The responsible office develops and maintains the document, provides training as needed, and monitors effectiveness to help ensure quality and compliance.

REVIEW TYPES: The development and review of a new or revised procedural document may involve a combination of informal and formal reviews before final implementation. An informal review may be in the form of correspondence, meetings, teleconferences, or e-mail. A formal review may be one of the following:

- **Scheduled (Periodic) Review:** Procedural documents are scheduled for review every second anniversary of the effective date or revision date (see ***Section 5.1***). Policies are scheduled for review on an annual basis (see ***Section 11***).

- **Preliminary Online Review:** The **first** required formal review of a new or substantively changed procedural document. This on-line review should include all affected offices in the Central Office and Districts. (see ***Section 5.3***).

- **Executive Online Review:** The **second** required formal review for a new or substantially changed procedural document (see ***Section 5.5***). The Executive Online Review is completed by the Executive Team and the Executive Team Staff.

SAMPLE: A document used as an example. Within procedural documents, samples and sample forms must display the word “sample” as part of the title.

SCHEDULED (PERIODIC) REVIEW DATE: The date established for mandatory review by the responsible office of a procedural document to determine if it is current, needs revisions, or is no longer needed (see ***Section 5***).

SCOPE: A required section in a procedural document to identify the principal users of the document.

STANDARD OPERATING SYSTEM (SOS): The compilation of policies, procedures, directives, and manuals officially adopted by the Department to serve as instructions to Department staff. The Forms and Procedures Office is custodian of these documents.

TABLE OF CONTENTS: It is suggested that this section be included to aid in reviewing long procedures; it is required for manuals.

TASK TEAM: A team comprised of representatives with expertise in a subject matter and usually appointed by an Executive Level Manager to review a specific process and develop procedures as needed.

TRAINING HANDBOOK: Instructional material designed to teach or train individuals how to perform specific tasks, and may be used for future reference. Training handbooks are not included as part of the Standard Operating System (see ***Section 13***).

USER HANDBOOK: Detailed instructions or techniques in specific areas for fulfilling the requirements of policies, procedures, and other regulatory authorities. For instance, a user handbook may be used by a computer operator as a guide for entering data into a computer. A user handbook is used as a supplement to a procedural document and is not required to be included as a part of the procedures development process (see ***Section 13***).

Section 2
ACCOUNTABILITY/RESPONSIBILITY

The Department's Standard Operating System (SOS) provides direction for managing the Department's policies, procedures, directives, and manuals, and it forms the basis for accountability within the Department.

2.1 CENTRAL OFFICE DIRECTOR/MANAGER RESPONSIBILITIES

In accordance with ***Section 334.048(5), F.S.***: All Department managers shall be accountable for the implementation and enforcement of all laws, rules, policies, and procedures adopted for their areas of responsibilities, and shall have the following responsibilities.

2.1.1 Ensure current and effective policies and procedures are in place for their area of responsibility.

2.1.2 Ensure the process established within their procedures are used to help provide direction in administrative, policy, and technical areas.

2.1.3 Periodically review, improve, and streamline procedural documents to ensure they are kept current and viable.

2.2 DISTRICT MANAGER RESPONSIBILITIES

The District Manager's responsibility is to help ensure consistent and uniform delivery of the Department's programs through compliance with established procedures.

2.3 RESPONSIBLE OFFICE RESPONSIBILITIES

The responsible office is the office with primary authority for coordinating development, review, and adoption of specific procedural documents. The responsible office must:

2.3.1 Ensure coordination of new procedural requirements or substantive revisions to existing documents, among all affected offices. In addition to offices affected by the procedural document, the following offices must be included in all formal reviews (Preliminary and Executive Online Reviews):

> **Forms and Procedures Office:** To help the responsible office fulfill all requirements of the procedures development process.
>
> **Office of General Counsel (OGC):** To help ensure documents are not in conflict

with established law or other regulatory requirements such as the ***Florida Administrative Code***.

Office of Comptroller (OOC): To protect the fiduciary responsibilities of the Department and to help ensure sound processes for financial management (collection of moneys, processing invoices, etc.).

Office of Information Systems (OIS): To help ensure consistency with established standards and procedures pertaining to technology resources within the Department.

Office of Inspector General (OIG): To help ensure accountability, efficiency, and effectiveness of the Department's programs.

Office of Transportation Support: To help ensure compliance with the procurement of services and commodities, use of consultants, and equal opportunity practices.

Office of Policy Planning: To help ensure consistency with the Florida Transportation Plan (FTP), including the long and short range components and related support documents.

> **NOTE:** *The FTP represents the decisions that have been made in Florida on how the requirements and recommendations of federal and state transportation laws, rules, etc. are to be interpreted and implemented from a policy perspective.*

District Secretaries: To help ensure coordination with appropriate district staff.

2.3.2 Ensure coordination with upper level management and the Executive Team for issues resulting in new policy or revisions to existing policy. Task teams and Manual Review Staff may make recommendations for consideration by upper level management and the Executive Team, but the office manager is responsible for drafting the Department's procedural documents.

2.3.3 Ensure, when applicable, public involvement in the development of procedural documents which may affect the public, other governmental entities such as the Federal Highway Administration (FHWA), or industry.

2.3.4 Ensure all comments received are considered and provide rational reasons for any recommendation not accepted. If a comment or suggestion is not clear, or if the suggested change appears controversial, contact the reviewer for clarification or resolution. If differences occur, the responsible office should make every effort to resolve the issue prior to elevation to the next level. Steps in the procedural document development process may be repeated until differences are resolved.

2.3.5 Use the ***Procedures Online Review System*** available from the ***Procedures Page*** on the Infonet to facilitate reviews of new procedures, as well as, substantive and minor revisions (see ***Section 4***).

2.4 EMPLOYEE RESPONSIBILITIES

2.4.1 It is the responsibility of all Department employees to offer comments or recommended changes which might eliminate, combine, or improve processes within procedural documents. Suggestions may be submitted **at any time**. Employees are not required to wait until a scheduled review of the document is initiated. Suggestions should be submitted through appropriate management channels to the responsible office, with a copy to the Forms and Procedures Office.

2.5 FORMS AND PROCEDURES OFFICE RESPONSIBILITIES

2.5.1 Ensure a uniform process is in place for formatting, developing, revising, reviewing, adopting, managing, and publishing the Department's procedural documents.

2.5.2 Maintain PIMS which includes inventory, current status, and contact person information for all procedural documents of the Department.

2.5.3 Act as liaison between District Offices, Central Office, Executive Team, Executive Team Staff, and the Secretary in developing and maintaining the Department's procedural documents.

2.5.4 Maintain a central repository on the Department's Internet and Infonet pages for accessing the Department's procedural documents, manuals, and forms. The Forms and Procedures Office has the primary responsibility for publishing and maintaining these documents.

> **NOTE:** *Offices may provide links from their web pages to the central repository. An office may publish manuals on the web, but advance coordination with Forms and Procedures is required to ensure there are no conflicting procedural documents posted. Manuals published on the web must be in accordance with guidelines provided by the Forms and Procedures Office on the* ***Procedures Help and Tips Page*** *on the Infonet. The publishing office must also provide the Forms and Procedures Office with the appropriate URL in order to link from the central repository to the document.*

Section 3
NUMBERING AND FORMAT

3.1 GENERAL

3.1.1 Numbers for procedural documents are issued by the Forms and Procedures Office in accordance with ***Procedure No. 025-020-009, Topic and Subtopic Numbers***.

3.1.2 Certain formatting standards **must** be adhered to in order to help ensure user-friendliness and consistency for all procedural documents. These standards are identified in ***Section 3.3***.

3.1.3 Requirements for formatting Department procedural documents are available from the ***Procedures Help and Tips Page*** on the Infonet.

3.2 SOFTWARE AND FONT

3.2.1 The Department's standard word processing software shall be used for text of procedural documents. Refer to ***"Adopted Information Technology Standards"*** at:

http://infonet.dot.state.fl.us/officeofinformationsystems/Documentation/itrstds_current.pdf

The preferred font is Arial with 12 point for the main body text. The font size may vary for headings, footers, tables, etc. See ***Procedures Formatting Requirements*** and ***Manuals Formatting Requirements*** on the ***Procedures Help and Tips Page*** on the Infonet.

3.2.2 Flowcharts – The Department's standard flowcharting software is Visio; flowcharts should be saved as an image file (see reference in ***Section 3.2.1***).

3.2.3 Graphics such as drawings, exhibits, flowcharts, etc., must be created in software that can be converted to a Web compatible format (TIFF, GIF, JPEG, or BMP).

3.2.4 The Department's standard Portable Document Format (PDF) is Adobe Acrobat and shall be used to publish procedural documents and manuals.

3.3 CHAPTER, SECTION, AND PARAGRAPH NUMBERING

3.3.1 Arabic numerals shall be used. Roman numerals are not acceptable.

3.3.2 The decimal paragraph numbering system (n., n.n, n.n.n) shall be used for sections and paragraphs. Paragraph numbering is not required for policies.

3.3.3 For procedural documents the section/paragraph numbering begins with the main body of the procedure. It is not required to number the required sections of ***Purpose, Authority,*** and ***Scope***.

3.4 REFERENCES TO OTHER DOCUMENTS

3.4.1 References to other documents within text must be bold, italics. This includes references such as statutes, rules, procedures, forms, manuals, and handbooks.

3.4.2 References to procedures and forms should include the number and title. For procedural documents, omit the "a, b, c" revision suffix at the end of the number.

3.4.3 Refer to the ***Procedures Help and Tips Page*** on the Infonet, in the document ***Grammar and Punctuation Style***, for additional information regarding how to properly cite references in procedural documents.

3.5 REQUIRED SECTIONS

3.5.1 Except for policies, the following sections are required for all procedural documents. For manuals, these sections are required in the ***Manual Adoption Procedure***. Refer to ***Section 3.7*** for more details regarding manuals.

> **PURPOSE:** Required as the first section. Briefly explains the purpose or intent of the document.
>
> **AUTHORITY:** Required as second section and references the applicable statute, rule, regulation, or the other source governing the function covered by the procedure.
>
> **SCOPE:** Required as the third section and identifies principal users of the document.
>
> **TRAINING:** Required as the next to last section, preceding the ***Forms*** section. Identifies any mandatory training. If none, indicate "none required.” This section is used to identify training courses by number and title.
>
> **FORMS:** Required as the last section of the procedure. A list of forms referenced or required within the procedure by number, title, and supply source. If submission of a referenced form is required by an outside entity, such as FHWA, state how the form may be obtained. If none, indicate “none required.”

3.6 OPTIONAL SECTIONS

BACKGROUND or GENERAL: Information that may be helpful to the reader. This is the appropriate section to identify any obsolete or superseded documents. This section should precede the body of the procedure.

TABLE OF CONTENTS: It is suggested that this section be included to aid in reviewing long procedures.

DEFINITIONS: Define words, terms, or acronyms pertinent to the procedure. Definitions should be in uppercase, bold, and listed in alphabetical order, not numbered. Definitions may be included as a separate section of a procedure. This section should follow the ***Reference*** section.

REFERENCE: If this section is used, it should follow the ***Scope*** section. Identify other documents relevant to or referenced in the procedure. If handbooks or other supplemental documents are available for use with the procedure, identify them in this section. Omit revision suffix when citing other procedure numbers.

APPENDIX: Section containing supplemental information or instructions developed for the procedure. This may include such things as instructions for completing a form or for entering information into a database. An appendix normally appears at the end of a manual.

ATTACHMENTS: Material from other sources that are attached as exhibits, such as copies of forms, tables, flowcharts, etc. Attachments normally appear at the end of the document, such as the end of the procedure or the end of a chapter or section within a manual.

FLOWCHARTS: Flowcharts are encouraged as a quick reference for the process and may be included as an attachment. Flowcharts may be included in the form of one flowchart for an entire procedure, or individual flowcharts for multiple processes within a procedure or chapter/section of a manual.

3.7 MANUALS

3.7.1 Manual Adoption Procedure

The ***Manual Adoption Procedure*** is the introduction or first chapter or section of a manual and is used by the Secretary to approve the issuance and control of the manual. This procedure sets forth the purpose, authority for the functional area covered, and specifications for control, and any unique requirements for the manual. See the ***Procedures Help and Tips Page*** on the Infonet for instructions in formatting your document. The following sections are required in a ***Manual Adoption Procedure***:

PURPOSE: Required as the first section. Briefly explains the purpose or intent of the manual.

AUTHORITY: The second required section. This section states the Department's authority for the functional responsibility of the subject covered by the manual. This could be state or federal statutes and regulations as well as rules of the ***Florida Administrative Code***. A manual may cover multiple authorities; therefore, it may be necessary or helpful to identify specific authorities at the beginning of each chapter or section.

SCOPE: The third required section. Identify in this section the principal users of the manual. A separate scope for each chapter or section is optional but should be consistent throughout the manual.

DISTRIBUTION: Identify by title or office the official users of the manual. Include any information that may be pertinent to distribution of the manual, such as training required before receiving manual.

If distribution will be available in electronic format, identify the source in this section, such as the Internet address.

NOTE: In accordance with the Florida Department of State's ***General Records Schedule GS1-SL*** and ***Section 283.55, F.S.***, if publications are **mailed** to recipients on a Department mailing list, the Department must: "By March 1 of each odd-numbered year, every agency shall survey the addresses on each of its publication mailing lists by providing each addressee the following form, which must also disclose whether the publication is available on the agency's website:

(Name of publication)________________
Please choose one of the following options:
[ ] I would like to receive this publication in hard copy format.
[ ] I would like to receive this publication in electronic format. My e-mail address is: _________________________.
[ ] I do not wish to receive this publication.
Should your response to this survey not be received by April 30, your name will be automatically purged from our mailing list. Those addressees who respond shall be maintained or removed from such mailing list in accordance with the responses. Those addressees not responding by April 30 of such odd-numbered year shall be automatically purged from such mailing list. Agencies are prohibited from supplying addressees with postpaid response forms."

MANUAL REGISTRATION: To help ensure distribution and notification of revisions and additions, the responsible office must establish a method of registration for each manual and maintain a master distribution list. The method used should be identified in this section. If electronic distribution and notification is intended, this information should be included in this section.

ADDITIONAL COPIES ACCESS: Include a statement telling interested parties where they may obtain a manual and if there is a charge for it. Specify any requirements for obtaining future updates. If manuals are available through Document Control (Maps and Publications), coordination must be made with the Maps and Publications Office prior to notifying users of availability and price. Any electronic publication or access (Internet, Intranet, CD-ROM) must be coordinated with the Forms and Procedures Office, and the Maps and Publications Office in advance.

QUESTIONS, SUGGESTIONS, AND COMMENTS SECTION: Identify in this section how or where users may direct questions, suggestions, or comments regarding the content of the manual. At a minimum, this section should identify the responsible office name, e-mail address (Internet and Department USERID if applicable), telephone number, and fax number. Documents available on the Internet or Infonet should include an option to allow users to submit questions and comments online.

REVISIONS AND ADDITIONS: Include in this section any special processes that may be used for processing additions or revisions to the manual, e.g., Manual Review Staff. Manuals are required to include a continuous history or amendments section for each chapter including revision dates and brief summary of revisions.

SUPPLEMENTAL INSTRUCTIONS: The manual should be designed to afford opportunities for revisions, as needed. The use of correspondence, bulletins, or other forms of communication as substitutes for the process prescribed in this procedure for revising manuals is to be avoided. However, when used in emergency situations, necessary correspondence or bulletins must be replaced within 90 days by revising the manual.

The issuing office must ensure any supplemental instructions for procedural documents are coordinated with the Forms and Procedures Office prior to release. As applicable, the issuing office must also ensure coordination with the OGC, OOC, OIS, or Director of Transportation Support prior to implementation.

TRAINING: This section normally appears as the next to last section of the ***Manual Adoption Procedure***, preceding the ***Forms*** section. Identify any mandatory training required. If none, indicate "None Required.” This section may be used to identify training courses by title and number.

FORMS: Required as the last section of the ***Manual Adoption Procedure***. This section may be used to identify forms by number and title that are required by the manual. If another method of listing forms within a manual is used, the location or method used should be identified in this section.

3.7.2 Minimum Contents of a Department Manual

TABLE OF CONTENTS: Required at the beginning of the document. An alphabetical index at the end may be helpful, but is not required.

MANUAL ADOPTION PROCEDURE: Required as the introduction or first chapter or section of the manual.

FORMS: As a separate section in the manual or at the end of each chapter, identify all forms required (Department or non-Department). Identify how forms not available from the Department's forms library may be accessed. If no applicable forms, indicate "None required".

HISTORY: Every manual must include documentation of revisions. This documentation may be included as a separate section at the end of the manual or at the end of each chapter or section. The history section must identify the revision date and a brief summary of the revisions (including pen and ink).

3.7.3 Guidelines for Formatting Manuals

The format defined in ***Section 3.3*** for chapter, section, and paragraph numbering is applicable to manuals.

Refer to ***Manuals Formatting Requirements*** from the ***Procedures Help and Tips Page*** on the Infonet for assistance in formatting Department manuals.

Section 4
REVIEW PROCESS REQUIREMENTS

This section identifies requirements for coordinating reviews of proposed new and revised procedural documents.

> **NOTE:** *Review types (Scheduled, Preliminary, and Executive) are detailed in **Section 5**.*

4.1 PROCEDURES ONLINE REVIEW SYSTEM

4.1.1 The Department utilizes the ***Procedures Online Review System*** on the Infonet to facilitate reviews of new procedural documents and substantive and minor revisions to existing documents. This system is available from the ***Procedures Page*** on the Infonet from the Forms and Procedures site at:

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

4.1.2 This system allows for electronic sharing of draft documents, together with comments and responses associated with each review. The system begins with current reviews. As reviews meet the response due date, they are moved to the ***"Expired Review"*** where review comments can no longer be submitted but the responsible office can complete responses to all comments received. Once a document is approved for final release, the drafts are moved to the ***"Archived Reviews"*** site for one year in case they are needed for future reference.

4.1.3 Instructions for using the ***Procedures Online Review System*** are available on the site. See ***"Instructions for Reviewing Procedures"*** and ***"Instructions for Submitting Procedures for Review"*** at:

http://procnet/procedures/procreview.asp

4.2 REVIEWER REQUIREMENTS

4.2.1 Reviewers provide comments as to how procedural documents affect the program areas of the office represented in the review.

4.2.2 Reviewers must respond by the requested due date or request an extension. If requesting an extension, the reviewer must note on the Procedures Online Review System, prior to the response due date, that an extension until xx/xx/xx (date of the extension) has been granted by the responsible office, and that comments will be forwarded to the contact person.

4.2.3 Provide a comment that is brief and to the point. If the reviewer disagrees with a process, provide rationale and offer alternative language. Contact the responsible office if discussion would help clarify.

4.2.4 If review is initiated via the ***Procedures Online Review System,*** the reviewer must respond via the online review system. If a response is not submitted by close of business on the response due date, the reviewer's comments will not be noted on the online review system, and the originating office will not be required to acknowledge or respond to comments online. If the reviewer determines it is not feasible to submit comments online, such as for numerous editorial comments, the reviewer must first get approval from the originating office, and then add a comment to the online review system that comments are forthcoming.

4.2.5 Follow district or local procedures when providing comments to procedural documents. Comments represent the opinions of an office or district and should be submitted through appropriate management channels.

4.3 RESPONSIBLE OFFICE REQUIREMENTS

During the review/revision process, the responsible office should ensure that all requirements of the SOS are met. The following list includes, but is not limited to, information to help ensure the document is correct:

1. Coordination has been made with all affected offices, as well as any required offices (such as OGC, OOC, and OIS, as applicable). See ***Section 2.3.1*** for a list of required reviewers.

2. Comments received from reviews have been considered and appropriately addressed. A rational reason why a non-editorial comment was not adopted should be included in the summary of comments and responses. It is recommended that comments resulting in a “disagree” response should be coordinated with the office or person submitting the comment prior to final processing.

3. References to other documents (statutes, rules, federal regulations, other procedural documents, and forms) have been verified.

4. All attachments, appendices, and exhibits are attached and properly labeled.

5. The document has been reviewed for proper grammar, punctuation, typos, etc. See ***Grammar and Punctuation Styles for Procedural Documents*** available from the ***Procedures Help and Tips Page*** on the Department’s Infonet. Take advantage of spell check and grammar check.

6. The document is formatted in accordance with the ***Procedure and Manual Formatting Requirements*** available from the ***Procedures Help and Tips Page*** on the Department's Infonet.

7. Other items to check during responsible office review:

- Change of Secretary.
- Changes to authorities and references.
- Changes in process due to privatization or reduction in staff.
- Changes in process due to computer system changes.
- Changes suggested during the preliminary review.
- Changes suggested in quality assurance reviews.
- Changes suggested in audits.
- Changes needed to correct spelling or grammatical errors.
- Changes needed to improve clarity of instructions.

Section 5
REVIEW TYPES

The development and review of a new or revised procedural document may involve a combination of informal and formal reviews before final implementation. An informal review may be in the form of correspondence, meetings, or teleconferences. Formal reviews may be one of the following:

5.1 SCHEDULED REVIEWS

(A) For documents subject to the SOS to be effective, it is imperative that they are kept current, with obsolete documents removed from the system. To ensure this result, the Forms and Procedures Office electronically tracks documents approaching their assigned scheduled review date and sends a notice to responsible offices. New requirements, audit or quality assurance reviews, and input from users may result in improvements to existing documents.

(B) To help determine if updates are needed or if the documents are still required, most procedural documents are scheduled for review every second anniversary of the effective date or revision date. Policies are scheduled for review on an annual basis. See ***Section 11*** for additional information regarding policies. Scheduled review for manuals should be structured by chapters rather than the entire manual at one time.

(C) The Forms and Procedures Office electronically monitors review dates and may make adjustments as needed for unique circumstances or to avoid scheduling conflicts.

NOTE: The following processes are established to help facilitate scheduled reviews.

5.2 RESPONSIBLE OFFICE REVIEW

The responsible office reviews the document for continued need or updating, taking into consideration any changes in the program, any quality assurance reviews or audit recommendations, and the validity of the authorities cited.

(A) If it is determined that changes are needed, the responsible office uploads the draft procedure to the ***Procedures Online Review System*** (see ***Section 5.3*** for Preliminary Review for Districts and end users). A notice is sent by the responsible office to affected offices including OGC, OOC, and OIG. Districts and end users have two weeks to submit comments or suggestions for improvement or revision.

(B) The contact person for each procedure must consider all comments submitted, but is not required to ensure compliance with district or local procedures.

(C) During the review/revision process, the responsible office should ensure that all requirements of the SOS are met by following the ***Checklist for Procedural Documents*** on the Forms and Procedures Infonet site.

5.3 PRELIMINARY ONLINE REVIEW FOR DISTRICTS/END USERS

The purpose of this review is to allow on-line input by Districts and end users a draft of a proposed new or revised procedural document.

5.3.1 Submitting for Preliminary Review

(A) The office responsible for the procedural document initiates the preliminary review and sends an e-mail notification that the draft is available online to all affected offices and required reviewers (OGC, OOC, OIS, OIG, and Director of Transportation Support).

(B) The ***Procedures Online Review System*** must be used to coordinate preliminary reviews within the Department. Detailed instructions for the originating office to submit preliminary reviews are included on the site. For this review, select ***"Preliminary Review"*** at the prompt for ***"Review Type*.*"***

(C) In addition to the draft procedural document, include any documentation of change if the draft is a proposed revision to an existing document.

5.3.2 Reviewers Submit Comments

(A) If the preliminary review is initiated via the ***Procedures Online Review System***, the reviewer must respond via the system. Reviewers must submit comments by the response due date or request an extension from the contact person for the procedural document. If it is determined that an extension of the review period is warranted, the contact person may request an extension from the Forms and Procedures Office. The Forms and Procedures Office will manually extend the review period and will add a note that the extension was requested by “the requesting office.”

(B) If the reviewer determines it is not feasible to submit comments online, such as for numerous editorial comments, the reviewer must add a comment to the online review system before the end of the review period that comments are forthcoming.

5.3.3 Finalizing Preliminary Review

The responsible office:

(A) Considers and resolves all comments received and adds responses to the ***Procedures Online Review System***.

(B) Updates procedure, forms, and flowchart, as needed.

(C) Proceeds to next step as determined by the manager of the responsible office. See ***Section 6*** for new documents and ***Section 7*** for revised documents.

5.3 LEGAL REVIEW

After the preliminary review the Forms and Procedures Office routes the procedural document to the OGC to ensure documents are not in conflict with established law or other regulatory requirements such as the ***Florida Administrative Code***. The OGC has two weeks for its review.

5.4 EXECUTIVE ONLINE REVIEW

The purpose of this review is to provide opportunity for the Executive Team Staff to have input prior to submitting a document for the Executive Workshop Agenda and final approval by the Secretary or other designated authority

5.4.1 Preparing for Executive Review Request

(A) The office responsible for the procedural document initiates the Executive Review and sends an e-mail notification that the draft is available online to Executive Team Staff. The notice should also advise them of the review period. The Procedures Administrator is included for information purposes and for updating the procedures tracking system. The group distribution list ***FDOT-CO Managers*** for Executive Team Staff may be used for Executive Review.

(B) The ***Procedures Online Review System*** is used to coordinate Executive Reviews. Detailed instructions for the responsible office to submit reviews are included on the site. For Executive Review, select ***"Executive Review"*** at the prompt for ***"Review Type."***

(C) In addition to the draft procedural document, include any flowcharts and documentation of change if the draft is a proposed revision to an existing document.

(D) If a previous review was completed using the ***Procedures Online Review System***, a reference to the review dates should be noted in the Executive Review submittal in order for reviewers to view the results in the ***"Expired Reviews"*** section of the system.

(E) Reviewers from any previous reviews should be apprised of the disposition of their comments. This may be accomplished by providing a copy of the Executive Review notice to any previous reviewers.

5.4.2 Reviewers Submit Comments

(A) If the Executive Online Review is initiated via the ***Procedures Online Review System***, the reviewer must respond via the system. Reviewers must submit comments by the response due date or request an extension from the contact person for the procedural document. If it is determined that an extension of the review period is warranted, the contact person may request an extension from the Forms and Procedures Office. The Forms and Procedures Office will manually extend the review period and will add a note that the extension was requested by “the requesting office.”

(B) If for some reason the reviewer determines it is not feasible to submit comments online, such as for numerous editorial comments, the reviewer must add a comment to the online review system before the end of the review period that comments are forthcoming.

5.4.3 Finalizing Executive Review

The responsible office:

(A) Considers and resolves all comments received and adds responses to the ***Procedures Online Review System***. A sample format for comments and responses is available from the ***Procedures Help and Tips Page*** on the Infonet.

(B) Updates procedure, forms, and flowchart as needed.

(C) Proceeds to the next step (Executive Workshop Agenda) as determined by the manager of the responsible office. See ***Section 6*** for new documents, ***Section 7*** for revised documents, and ***Section 10*** for directives.

NOTE: *A substantive revision that appears to have consensus of reviewers may be submitted to the Forms and Procedures Office for final approval without Executive Review or Executive Workshop Agenda. This determination must be made by the manager of the responsible office, and is subject to approval by the* *appropriate executive level managers through coordination by the Forms and Procedures Office. The summary of comments/responses will be used as a basis to make this determination. If a determination is made to proceed with final approval, the responsible office submits a* ***SOS Request (Section 8)****.*

NOTE: *The Secretary reserves the right to adopt or approve procedures on an expedited basis as deemed necessary.*

5.5 EXECUTIVE WORKSHOP AGENDA

Hyperlink to Flowchart for Executive Workshop Agenda:

http://infonet.dot.state.fl.us/tlofp/Formatting/PDF_files/Sect_5.6.pdf

The purpose of this action is to obtain Executive Team input prior to final approval by the Secretary or other designated authority on new documents or revisions to existing documents that result in a substantive or policy change.

5.5.1 Preparing Executive Workshop Agenda Request

(A) From the Procedures Page on the Infonet, the responsible office selects and completes the ***SOS Request****.* At the prompt for ***"Request Type*,*"*** select ***"Executive Workshop Agenda*.*"*** See ***Section 8*** for additional information on accessing and submitting the request via the Infonet.

(B) Follow the prompts to complete the form.

(C) The ***SOS Request*** on the Infonet has a section for the user to attach and send up to three word processing documents to the Forms and Procedures Office. The documents that must be attached are:

(1) Word processing or other electronic files for final procedural document, including flowcharts and other attachments.

(2) Word processing or other electronic files for final strikethrough document.

(3) Summary of comments/responses from any previous reviews. Reference to the review dates for online reviews should be added to ***Section 3*** of the ***SOS Request*** submittal. The information on the ***"Expired Reviews"*** site can then suffice for the summary of comments and responses.

5.5.2 Approval for Executive Workshop Agenda

The Forms and Procedures Office:

(A) Reviews the ***SOS Request*** for conformance to the required process.

(B) Contacts the responsible office or returns the request package if it is not complete or if there appears to be unresolved or controversial issues.

(C) Refers to a higher level manager (such as Director, Assistant Secretary, or District Secretary) any potential conflicts or issues that may appear controversial or unresolved.

(D) Helps ensure coordination with any other offices known to be affected but not included in the review. This may be accomplished by personally coordinating with the affected office or by notifying the responsible office that other reviews may be necessary.

(E) Coordinates the ***SOS Request*** and final draft with the OGC to ensure the document is not in conflict with established laws or other regulatory requirements.

(F) Coordinates the ***SOS Request*** with applicable executive level managers for approval to place the document on Executive Workshop Agenda. The Procedures Administrator may flag for executive level managers' consideration any comments/responses that appear controversial or unresolved.

5.5.3 Notice of Documents Scheduled for Executive Workshop Agenda

One week prior to the Executive Workshop meeting date, if the ***SOS Request*** is approved, the Forms and Procedures Office:

(A) Uploads the final draft of the procedure and summary of comments and responses from the last review to the Infonet. If the review was handled via the ***Procedures Online Review System***, a link will be provided to the ***"Expired Site"*** for the summary of the last review. This information will be accessible from the ***Executive Meetings Page*** on the Infonet under ***"Workshop Agenda."***

(B) Distributes e-mail notice to the Executive Team and the Executive Team Staff.

5.5.4 Comments Prior to Executive Workshop Meeting

(A) At this point all comments should have been resolved. If, however, any additional comments arise, the comments should be directed to the responsible office by an Executive Team Staff representative at least three working days prior to the Executive Workshop meeting date.

(B) Comments or concerns by affected offices should be submitted to theappropriate management level for consideration and referred to an Executive Team Staff representative as soon as possible.

(C) The manager of the responsible office must make every effort to resolve the comments prior to the meeting and will advise the appropriate Assistant Secretary and the Forms and Procedures Office if any changes or other action is needed.

Section 6
NEW DOCUMENTS

This section identifies the review and adoption process that must be followed for adopting new procedural documents, except for directives. New manuals or new chapters and sections to existing manuals are subject to these requirements. Refer to ***Section 10, Directives*** for assistance in processing these documents.

Hyperlink to Flowchart for New Documents:

http://infonet.dot.state.fl.us/tlofp/Formatting/PDF_files/Sect_6.pdf

NEW PROCEDURAL DOCUMENTS

6.1.1 The following processes, in the order shown, should be completed for formal adoption of a new procedure or policy. Details regarding each of these processes are defined in the identified sections:

- Preliminary Review (***Section 5.3***)
- Executive Review (***Section 5.5***)
- Executive Workshop Agenda (***Section 5.6***)

6.1.2 If immediate implementation of a new procedure is needed and there is not sufficient time to complete the review process, a directive may be issued for 12 months. For requirements regarding this process, refer to ***Section 10, Directives***.

6.2 NEW MANUAL OR NEW MANUAL CHAPTER/SECTION

6.2.1 New manuals must be approved by the Secretary following the same process as identified in ***Section 6.1***. The initial adoption of a manual may be in the form of the ***Manual Adoption Procedure***, which becomes the first chapter or introduction to the manual.

6.2.2 Subsequent chapters and/or sections of the manual must then follow the same process for adoption as established in ***Section 6.1***, unless otherwise specified and approved by the Secretary in the ***Manual Adoption Procedure***. See ***Section 3.7*** for requirements regarding the ***Manual Adoption Procedure***.

6.2.3 A Manual Review Team comprised of representatives with expertise in the subject matter may be established to assist in the review and adoption process. The Manual Review Team membership and operating guidelines must be identified in the ***Manual Adoption Procedure***. If a Manual Review Team is established, the responsible office must ensure coordination with other offices affected by the processes that may not be represented on the Committee, including the OGC for legal requirements, the OOC for financial requirements, the OIS for electronic processes, and Office of Transportation Support for various administrative requirements.

6.2.4 Special requirements for adopting new chapters or sections to a manual may be established in the ***Manual Adoption Procedure***. However, the manager of the responsible office must ensure coordination with the Executive Team Staff and Executive Team for any issues that may affect Department policy.

6.2.5 New chapters or sections that require immediate implementation should be coordinated with the Forms and Procedures Office and issued as a directive. Refer to ***Section 10*** for requirements regarding directives.

Section 7
REVISING AND RESCINDING

This section identifies the processes for revising and rescinding existing policies, procedures, and manuals. Refer to ***Section 10, Directives,*** or ***Section 11, Policies***, for details regarding these documents.

Hyperlink to Flowchart for Revision and Rescinding:

http://infonet.dot.state.fl.us/tlofp/Formatting/PDF_files/Sect_7.pdf

7.1 REVISION TYPES

The manager of the responsible office makes the determination as to the revision type. The revision types are:

(A) Substantive: Changes Department policy or the way in which a program or function is required to be operated. This type of revision may require additional duties of a unit, such as decentralization of an existing program or implementation of new requirements for an existing program.

(B) Mandatory: Changes made because of requirements imposed by a specific authority where there is no latitude in the method of implementation. These changes are required because of a new or changed statute, rule, or federal regulation, or a court ruling.

(C) Minor: Changes that do not substantively alter the process.

(D) Editorial: Corrections of grammar, spelling, or updating information such as the address or telephone number of an office or the name of a cited document. These types of changes usually result in a new effective date and revision suffix. The Forms and Procedures Office may determine that it is more efficient to process these types of changes as pen and ink changes until the next scheduled review date.

(E) Pen and Ink: Pen and ink changes may be made on all types of documents only when necessary. Examples include correcting a reference or citation, or extending a directive without change. The effective date and revision suffix do *not* change with a pen and ink change.

7.2 PREPARING FOR REVISION

The responsible office prepares documentation of changes. This may be accomplished by one of the following methods:

(A) Strike-through/underline: Words proposed for deletion will be shown as a strike-through, and proposed new language will be shown as underlined. The stricken language is to be shown first, followed by the new language.

(B) When the revised document is drastically different from the current document, and a one-to-one correlation between old and new is impossible to show, the responsible office may make notation that the document was rewritten with substantive revision, adding a comment as to why a substantive rewrite was necessary.

(C) A summary of substantive changes made.

(D) Marked up copy of the original document with changes noted in pen and ink.

7.3 REVISION PROCESS

7.3.1 Substantive Revision

(A) The responsible office proceeds with the Preliminary Online Review for Districts and end users (***Section 5.3***)

(B) After completion of the Preliminary Online Review for Districts and end users, the document is submitted to the OGC for a two week review (***Section 5.4***). After legal review the document is submitted to the Procedures Online Review System for Executive Review ***(Section 5.5)***.After Executive Review the document is submitted to the Forms and Procedures Office for final processing ***(Section 8)*** and signature by the Secretary or other designated authority ***(Section 9)***.

(C) Refer to ***Section 5.5*** for handling Executive Review; ***Section 5.6*** for Executive Workshop Agenda; and ***Section 8*** for instructions on submitting a document to the Forms and Procedures Office for Executive Workshop Agenda or for final approval.

7.3.2 Minor, Mandatory, Editorial, or Pen and Ink Revisions

7.3.2.1 No formal review (Preliminary or Executive) is required for minor, mandatory, editorial, or pen and ink revisions. However, notification to Districts and affected offices using the FDOT-District Procedures Contact List is required as described below:

(A) **Minor Revisions** – Responsible offices requesting minor revisions will coordinate the proposed change with the Districts and affected offices to ensure there is no significant impact resulting from the change by using the Procedures Online Review System for a two week review (Preliminary Review). After the Preliminary Review, the draft document will be coordinated with OGC, which has two weeks for review. After legal review the document is submitted to the Forms and Procedures Office for final processing ***(Section 8)*** and signature by the Secretary or other designated authority ***(Section 9)***.

(B) **Mandatory Revisions** – Wherein a governing authority has mandated a change to a process and there is no latitude in the method of implementation, responsible offices will notify Districts and affected offices of the pending changes as described in ***Section 7.3.2.2(A)***. This notification can be made while the revision is in process by the Forms and Procedures Office.

(C) **Editorial/Pen and Ink Revisions** – These revision types will be used for only changes as described in ***Section 7.1***, and will not be used as an expedited method to change processes without advance notice to the Districts and affected offices. Notice to the Districts and affected offices of editorial or pen and ink changes may be provided as described in ***Section 7.3.2.2(A)***, while the revision is in process by the Forms and Procedures Office.

NOTE: *The Forms and Procedures Office has been delegated authority to implement mandatory, editorial, and pen and ink revisions for all procedural documents; extending a directive without change; and for minor revisions to manuals based on input from responsible office managers.*

7.3.2.2 The responsible office must submit a request for final approval to the Forms and Procedures Office using the ***SOS Request*** process (***Section 8***).

7.4 PROCESSING REQUEST FOR REVISION

7.4.1 Upon receipt of a request for revision, the Forms and Procedures Office will analyze the request for the following:

(A) Assess if the process followed is appropriate for the revision type requested. For manuals the process should be consistent with the ***Manual Adoption Procedure***.

(B) For substantive revisions, assess whether affected parties have been contacted and coordinated. The ***Scope*** section is compared to the list of reviewers.

(C) Assess if the summary of comments/responses appears to satisfactorily address comments. For negative or possible controversial responses or issues, the Forms and Procedures Office may contact the responsible office for further clarification, or may flag the comments/responses for executive level management.

7.4.2 After a determination is made that the revision method is appropriate and sufficient reviews have been performed, the Forms and Procedures Office will coordinate for final review by executive level management and approval by the Secretary or other designated authority ***(Section 9)***. Any comments received will be returned to the responsible office for consideration.

7.4.3 After final approval, the Forms and Procedures Office will return the document to the responsible office for distribution, as needed, and update the tracking system, the Infonet, and the Internet.

7.5 REVISION MEMORANDA OR BULLETINS

7.5.1 In lieu of a pen and ink revision or temporary directive, some offices may use memoranda or bulletins to make short term (less than 90 days) changes to procedures. This process may be used only on a case-by-case basis with the approval of the Forms and Procedures Office, until such time the procedural document may be formally revised.

7.5.2 If a manager determines it is necessary to distribute a temporary revision, the revision notice should reference the topic number and title, with a note to the effect that the revision process will be initiated by a specific date. The effective period of temporary revisions other than directives should not exceed 90 working days.

7.5.3 Revision memoranda or bulletins should be coordinated with the OGC, OOC, OIS, OGC or Office of Transportation Support prior to issuance, if applicable.

7.5.4 Revision memoranda or bulletins must be coordinated with the Forms and Procedures Office prior to release to help ensure coordination with all offices affected. The ***SOS Request*** process (***Section 8***) may be used for submitting the memorandum to the Forms and Procedures Office.

7.6 RESCINDING DOCUMENTS

If a document is no longer needed, the responsible office must take steps to ensure it is removed from the system using the following process:

7.6.1 Submit a ***SOS Request*** to the Forms and Procedures Office. ***Section 8*** describes the process for accessing and processing this request online.

When filling out the request:

(A) At the prompt for “Request Type,” choose ***Rescind***.

(B) At the prompt for “Explanation of Request”, provide information as to why the document is no longer needed.

(C) At the prompt for “Identify any Reviews”, list any offices or parties with which there may have been coordination to help make this determination. If none, indicate "none."

7.6.2 The Forms and Procedures Office will coordinate with the appropriate executive level managers as needed.

7.6.3 If there are any questions regarding the decision to rescind, the Forms and Procedures Office will coordinate with the contact person on the request form, and obtain concurrence from the manager or director of the responsible office.

7.6.4 The Forms and Procedures Office will remove the document from the current repository on the Internet and Infonet; update the procedures tracking system; and provide notice on the next ***Procedures Bulletin***.

7.6.5 The approved request will be returned to the responsible office. The responsible office must advise Districts and end users that the document is obsolete and has been deleted as a procedural document.

7.6.6 If a procedural document is obsolete as a result of being combined with another document, the Forms and Procedures Office will remove the obsolete document from the Infonet and Internet without any formal request and update the tracking system.

Section 8
STANDARD OPERATING SYSTEM (SOS) REQUEST

Hyperlink to Flowchart for the SOS Request:

http://infonet.dot.state.fl.us/tlofp/Formatting/PDF_files/Sect_8.pdf

8.1 This is an application on the Infonet used to submit requests and upload word processing files to the Forms and Procedures Office for final approval of new or revised procedural documents (including manuals), new directives, and policies; to rescind existing documents; or to request a procedural document be placed on the Executive Workshop Agenda.

8.1.1 To access the application, from the ***Procedures Page*** on the Infonet, select ***"Standard Operating System (SOS) Request – Submit Draft for Final Approval"*** and follow the prompts for the action requested.

8.1.2 Up to three electronic files may be submitted with the form. The word processing file names must have the appropriate file extension, such as **.doc** for Word. Images such as flowcharts created in Visio should be saved in **.gif** format and submitted as a separate file rather than embedding it into the procedure. The Forms and Procedures Office will merge the image when the document is converted to HTML format on the web.

8.1.3 The documents that must be attached are:

(A) Final version of the procedural document (including flowcharts and attachments),

(B) Documentation of changes, if applicable (see ***Section 7.2.2****)*, and

(C) Summary of Comments/Responses, if applicable.

> **NOTE:** *If the **Procedures Online Review System** was used for the preliminary or executive review, a note should be made in the comments section of the form advising the dates of the online review. The information available on the "Expired Review" site may suffice for the documentation of changes and summary of comments/responses.*

8.1.4 When the request is submitted, the Forms and Procedures Office receives an e-mail notice that a file has been received and initiates the final approval process in accordance with the established process for the requested action and document type (procedure, directive, manual, or policy). See ***Section 9*** for signature and distribution.

Section 9
SIGNATURE AND DISTRIBUTION

Hyperlink to Flowchart for Signature and Distribution:

http://infonet.dot.state.fl.us/tlofp/Formatting/PDF_files/Sect_9.pdf

9.1 SIGNATURE

9.1.1 When the document is ready for final approval, the Forms and Procedures Office processes it for final approval by the Secretary or other designated authority.

9.1.2 The Secretary is the approval authority for Department procedures, directives, policies, and administrative manuals. In the absence of the Secretary, final approval of these documents may be delegated to other designated authority.

9.1.3 The approval signature for procedures shall be on the first page of the procedural document and on the last page for policies.

9.1.4 Manuals containing engineering procedures may be approved by the Secretary, appropriate Assistant Secretary, or designated signing authority, as identified in the ***Manual Adoption Procedure***.

The approval signature for these documents may be affixed to a letter or memorandum transmitting the document to users or on a separate signature page. Sample signature pages are available from the ***Procedures Help and Tips Page*** on the Infonet.

> **NOTE:** *The Secretary reserves the right to approve all procedural documents on an expedited basis as deemed necessary. Approval signatures are available on the electronic versions of these documents on the Infonet and Internet.*

9.2 EFFECTIVE DATE

9.2.1 Unless otherwise designated, the effective date for documents approved by executive level management shall be the date of the Executive Workshop meeting.

9.2.2 Documents not formally approved at an Executive Workshop meeting will become effective on the date signed by the signing authority, unless otherwise designated by the office responsible for the procedural document.

9.3 AUTHORIZATION FOR RELEASE

After the document is approved, the Forms and Procedures Office:

(A) Updates the Infonet and Internet. The Forms and Procedures Office is responsible for providing or authorizing Infonet and Internet access to these documents. Offices with their own sites may link to the ***Forms and Procedures Home Page***.

(B) Retains originals as the official file of record.

(C) Updates the procedures tracking system and enters the scheduled review date. See ***Section 5, Scheduled Reviews***.

(D) Releases any forms pending approval of the procedural document.

(E) Adds notice to the ***Procedures Bulletin*** which is available from the Forms and Procedures home page on the Infonet under ***Procedures Reports***.

9.4 DISTRIBUTION

9.4.1 In an effort to reduce paper and because access is available to the main text of documents on the Infonet and Internet, there is no required distribution list for procedures.

9.4.2 The responsible office must promptly notify end users responsible for implementation of the procedural document that the procedural document has been updated. A notice, with a brief description of the changes, should be provided to all principal users identified in the ***Scope***. The Forms and Procedures Office and each District Secretary must be copied on the transmittal.

9.5 RECORD RETENTION

9.5.1 The responsible office must retain all related working papers according to the Department's ***Record Retention Schedule No. S-14(1), Rules and Procedures Working File.***

9.5.2 The Forms and Procedures Office will retain the original as the official file of record. The official file of record for manuals is retained by the responsible office. This is necessary for future audits or possible litigation. This file will include documents that comprise the processing package:

(1) Copy of the approved document

(2) Summary of Comments/Responses
(3) Documentation of Changes

The ***"Archived Reviews"*** site from the ***Procedures Online Review System*** will also serve as an electronic archive of completed reviews.

Section 10
DIRECTIVE

Hyperlink to Flowchart for Directives:

http://infonet.dot.state.fl.us/tlofp/Formatting/PDF_files/Sect_10.pdf

10.1 PURPOSE OF DIRECTIVE

A directive is a temporary document (normally effective for 12 months) which places a procedural document into effect immediately when there is not sufficient time for the review and adoption process. A direcitve may introduce a new process, establish a pilot program, or modify an existing procedure.

10.2 DIRECTIVE FORMAT

A directive has the identical format as a procedure except that an expiration date of 12 months from the effective date is entered two spaces below the topic number in the upper right corner of the first page. See ***Procedures Help and Tips Page*** on the Infonet for the format of a directive.

A directive for a manual chapter or section may be issued using the same format as a procedure. The effective date and 12 month expiration shall be included in the header for each page.

10.3 DIRECTIVE NUMBERING SYSTEM

10.3.1 The responsible office must contact the Forms and Procedures Office for a topic number.

10.3.2 The same numbering system used for a procedure is followed for a directive (see ***Procedure No. 025-020-009, Topic and Subtopic Numbers***). The Forms and Procedures Office will assign the topic number according to the relevant area.

10.3.3 If a directive modifies and replaces an existing procedure it will be given the same number except the last field will be changed to the next revision suffix.

XXX-XXX-XXX-a (Procedure)
XXX-XXX-XXX-b (Directive)

10.3.4 An extended directive without any other changes will not result in the revision suffix changing. An extension of a directive with changes, however, will result in the revision suffix changing to the next letter.

For Example: XXX-XXX-XXX-a (Directive)
XXX-XXX-XXX-b (Directive with changes)

10.3.5 For manuals, the version control is by effective date and not the “a”, “b”, “c” suffix.

10.4 REQUESTING DIRECTIVE

To request a directive, complete and submit the ***SOS Request, Form No. 025-020-19*** to the Forms and Procedures Office, which is available from the ***Procedures Page*** on the Infonet. See ***Section 8*** for additional information regarding this process.

10.5 REVIEW AND APPROVAL OF DIRECTIVE

10.5.1 Coordination for approval of a directive is handled by the Forms and Procedures Office. Based on the ***Purpose*** and ***Scope*** identified in the directive, and the requirements identified in ***Section 2.3*** for required reviewers, the Forms and Procedures Office will determine which offices or executive level managers should review. If the ***SOS Request*** does not indicate a previous coordination with any of the applicable offices identified in ***Section 2.3*** (such as the OGC and tOOC) or any other offices in the Central Office that appear to be affected, the Forms and Procedures Office will return the document to the originating office for coordination, as needed, prior to final approval.

10.5.2 Any comments provided by executive level reviewers are returned to the Forms and Procedures Office, and the comments are forwarded to the responsible office for consideration. The responsible office returns the package to the Forms and Procedures Office advising the action taken with the comments and a copy of the new draft, if revised. The Forms and Procedures Office then proceeds with the approval process.

10.5.3 When the review process is complete and the Forms and Procedures Office determines the directive is ready for approval, it is forwarded to the Secretary or other designated authority for consideration and signature.

10.5.4 After the directive is signed by the Secretary or other designated authority, the Forms and Procedures Office updates the procedures tracking system and adds the directive to the Infonet, Internet, and ***Procedures Bulletin***. The distribution process is the same as for a procedure (see ***Section 9***).

10.6 CONVERTING DIRECTIVE TO PERMANENT PROCEDURE

10.6.1 If the directive is to be adopted as a permanent procedure, within six months of the effective date the responsible office must initiate the adoption process for a new procedure, which will include Preliminary Review (***Section 5.3***), Executive Review (***Section 5.5***), and adoption by the Secretary.

10.6.1.1 The review and adoption process cannot be completed within the 12 month time frame, the responsible office may request an extension. See ***Section 10.7*** for the extension process.

10.6.1.2 If the directive is not adopted as a permanent procedure by the expiration date and no request for extension has been requested and approved, the directive automatically expires and is removed from the Infonet by the Forms and Procedures Office.

10.6.2 Directive Not Planned for Permanent Document

The directive is programmed to be rescinded from the SOS on the expiration date.

10.7 DIRECTIVE EXTENSIONS

All requests for extension must include a proposed new expiration date (not to exceed 12 months) and a justification for the extension. The Forms and Procedures Office will coordinate all requests for extension with the appropriate executive level managers for approval.

The following process must be followed to request an extension:

10.7.1 If the request is to extend without change, this action may be handled as a pen and ink revision. Upon receiving a request for extension without change, the Forms and Procedures Office will make a pen and ink revision to the expiration date on a copy of the original document. This will be attached to the ***SOS Request*****,** ***Form No. 025-020-19,*** which will be coordinated with appropriate executive level managers for final approval.

10.7.2 If the request is to extend with changes, the responsible office must revise the current directive as needed (see ***Section 7.2*** for change documentation).

10.7.3 The responsible office must complete the ***SOS Request (Form No. 025-020-19)***, which is available from the ***Procedures Page*** on the Infonet. See ***Section 8*** for additional information regarding the ***SOS Request***.

When the form is submitted, the Forms and Procedures Office receives an electronic notice and initiates the final approval process for the directive. See ***Section 9*** for ***Signature and Distribution***.

10.7.5 The Forms and Procedures Office processes a request for extension in the same manner as a new directive. If the directive is extended with changes, the Forms and ProceduresOffice will request the Secretary or other designated authority to sign the revised directive. If pen and ink revision to extend without changes, the Forms and Procedures Office will request executive level management to indicate approval on the ***SOS Request***.

10.7.6 When approved, the Forms and Procedures Office will update the procedures tracking system, add the document to the Infonet and Internet, and return the approved document to the responsible office for distribution, as needed, or notification to users that the directive has been extended.

10.7.7 If the extension request is denied, the responsible office is notified, and the directive becomes obsolete and is removed from the Infonet and Internet by the Forms and Procedures Office.

Section 11
POLICIES

Hyperlink to Flowchart for Policies:

http://infonet.dot.state.fl.us/tlofp/Formatting/PDF_files/Sect_11.pdf

11.1 PURPOSE OF A POLICY

A policy sets forth the Department's principles, intent, position, plan, or course of action for the subject addressed. Within the Department there are two types of policies:

Transportation: Relates to the planning, design, construction, and maintenance of the Department's transportation operations and programs. These operations and programs include, but may not be limited to, statewide plans, work program, roadway and structure design, right of way, environmental management, roadside maintenance, bridge operations, construction projects, public transportation, and safety.

Administrative: Relates to the business operations and functions of the Department. These operations and functions include, but may not be limited to, accounting, budgeting, personnel, purchasing, information systems, and other areas relating to employee on-the-job matters and conduct.

11.2 FORMAT

Policies should be brief statements consistent with the sample format available on the ***Procedures Help and Tips Page*** on the Infonet.

11.3 REVIEW AND APPROVAL OF POLICIES

11.4.1 Preliminary Review - The responsible office initiates Preliminary Review of the draft policy to Central and District Offices. See ***Section 5.3*** regarding the Preliminary Review process.

11.4.2 Legal Review - After the preliminary review the Forms and Procedures Office coordinates with the OGC to help ensure documents are not in conflict with established law or other regulatory requirements such as the ***Florida Administrative Code***. The OGC has two weeks for its review.

11.4.3 Executive and External Review - The responsible office initiates Executive Review and review by any external customers. See ***Section 5.5*** regarding the Executive Review process.

11.4.4 Executive Workshop Agenda - The responsible office submits a request to place the policy on the Executive Workshop Agenda in accordance with ***Section 5.6, Executive Workshop Agenda***.

11.4.5 Secretary Approval - The Forms and Procedures Office coordinates with the Secretary for final approval of the policy.

> **NOTE**: *The Secretary reserves the right to approve policies on an expedited basis as deemed necessary.*

11.5 DISTRIBUTION

11.5.1 After the policy is signed by the Secretary or other designated authority, the original signed copy will be maintained in the Forms and Procedures Office as the official file of record. The text of the document will be added to the appropriate Internet and Infonet sites.

11.6 ANNUAL REVIEW OF POLICIES

Hyperlink to Flowchart for Annual Review of Policies:

http://infonet.dot.state.fl.us/tlofp/Formatting/PDF_files/Sect_11.6.pdf

11.6.1 The Forms and Procedures Office electronically tracks and generates notices for ***Scheduled Reviews***.

For transportation policies, the Forms and Procedures Office coordinates responses with the Office of Policy Planning for preparation of a summary report for action by the Executive Team Staff. For administrative policies, the Forms and Procedures Office, in coordination with the Director of Transportation Support, prepares the summary report for action by the Executive Team Staff. The reviews shall be scheduled as follows:

(a) All transportation policies shall be reviewed annually on a schedule that will allow the Executive Team Staff to consider any changes at their September meeting for input to the Secretary.

(b) All administrative policies shall be reviewed annually on a schedule that will allow the Executive Team Staff to review any changes at their March meeting for input to the Secretary.

Section 12
LOCAL OR DISTRICT PROCEDURES

Local procedures are internal office instructions, such as desk procedures, that impact the operations of only one office, the Central Office, or one Assistant Secretary. District procedures are specific to one District. A local procedure at the Central Office level is not binding on any District.

12.1 LOCAL PROCEDURES

12.1.1 The responsible office should consult with the Forms and Procedures Office for assistance in determining if a procedure is local or Department-wide. The Forms and Procedures Office may recommend coordination with other offices such as Human Resources, OOC, or OGC.

12.1.2 Office managers should establish a process for numbering and managing local procedures within their office.

12.1.3 Local procedures should be approved at the office manager level, unless directed otherwise at the director level or above.

12.1.4 Local procedures are not maintained or added to the Infonet by the Forms and Procedures Office.

12.1.5 Office managers must periodically review local procedures for continued need and updating.

12.2 DISTRICT PROCEDURES

District procedures are internal administrative procedures within a district. It may be necessary for a district to develop an internal procedure to carry out the requirements of a Department-wide procedural document.

> **NOTE:** By law and t*o establish a degree of consistency and uniformity applicable to all districts and those outside interests (public and private) that deal with the Department on a daily basis, policies and procedures must be established at the Central Office level. The process for developing these documents requires all affected offices to establish the most logical, workable process, and to ensure continuous improvement. District procedures cannot vary from formally adopted documents of the* ***Standard Operating System****.*

12.2.1 Each District Secretary should adopt an established process for managing and controlling these documents within his or her District. The process must include:

(A) A numbering system for tracking purposes. The topic numbers established in ***Procedure No. 025-020-009, Topic and Subtopic Numbers***, may be used. The number must reflect that it is a District procedure and must have a District number. Sample variations that may be used are:

275-D01-001
275 = Topic: Equal Opportunity
D01 = District 1
001 = Numerical sequence

D02-700-002
D02 = District 2
700 = Construction
002 = Numerical sequence

(B) Coordination with the Central Office Manager responsible for the Department-wide document and the Forms and Procedures Office, if the procedure relates to or is used to implement a Department-wide procedure. This is to avoid conflict with existing procedures and provide uniformity.

(C) A system to review procedures periodically to keep them updated.

12.2.2 If a District determines a procedure or policy should be adopted statewide, the District should contact the applicable Central Office Manager or the Forms and Procedures Office.

12.2.3 District procedures are not maintained or added to the Infonet by the Forms and Procedures Office.

Section 13
HANDBOOKS

Approval by the Forms and Procedures Office to develop a handbook is contingent upon the nature of the material being published. Handbooks are used to issue technical instructions or techniques to assist or train users in performing specific functions. Handbooks are used as a supplement to a procedure that establishes the minimum requirements. Although handbooks are not numbered, tracked, or considered part of the SOS, certain requirements must be followed in order to help ensure Department-wide consistency.

NOTE: Handbooks cannot prescribe mandatory operating practices or requirements which have not otherwise been established in a current, approved policy, procedure, or directive.

13.1 USER HANDBOOKS (INSTRUCTIONS)

13.1.1 User handbooks are provided to issue detailed instructions or techniques in very specific areas; for instance, how to enter data into a database, how to complete forms, or provide checklists for performing tasks, etc.

13.1.2 User Handbooks and any applicable procedures should cross reference each other.

13.1.3 Although a review of a user handbook should be done in conjunction with the review of a related procedure or manual, there are no requirements for formal review and adoption. User handbooks are issued at the discretion of the director or manager in charge of the functional area covered. Any special requirements for updating and distribution of a user handbook must be identified in the applicable procedure.

13.2 TRAINING HANDBOOKS

13.2.1 These documents are used to help train and teach people how to perform specific tasks or how to oversee a functional responsibility; for instance, a course on the duties of a training coordinator. Training handbooks are normally developed by trainers utilizing knowledge from experts in the subject.

13.2.2 A training handbook may be issued to a trainee for future reference.