

Approved:

Effective: February 16, 2018  
Review: January 22, 2018  
Office: Organizational Development  
Topic No.: 050-030-001-k



Department of Transportation

## FORM DEVELOPMENT AND CONTROL

### AUTHORITY:

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

### REFERENCES:

Chapters 23 and 119, F.S.  
Sections 120.52(15) and 120.55(1)(a)4, F.S.

### STATEMENT OF POLICY:

It is the policy of the Florida Department of Transportation (Department) to establish processes with the intent to: (a) reduce duplication of information required and collected and (b) to ensure the integrity of the Department's official forms.

### PURPOSE:

To establish the process for developing, revising, and controlling the Department's forms.

### SCOPE:

This procedure affects all Department employees who complete, develop, or manage forms.

### DEFINITIONS:

**Confidential or Sensitive:** Information exempt from public disclosure under **section 119.071, F.S.**, which is confidential by law; information which requires protection from unauthorized access by its legal exemption from the **Public Records Act** (see, e.g., **section 119.071(4)(a)1, F.S.**, regarding exemption of social security numbers).

**Contact Person:** A person from the originating office who is responsible for ensuring a form is revised or made obsolete when necessary.

**Financial Impact:** A form that establishes an amount to be received or paid, or that indicates a current or future receipt, payment or usage of funds, budget or cash, or receipt or provision for delivery of goods or services. A form that involves a process affecting the Department's finances.

**Forms Inventory Management System (FIMS):** A computerized inventory system administered by the Policy and Process Management Unit (PPMU) to track a form's creation and revision process and to house the current forms.

**Form:** An electronic method of collecting data, documenting approvals, or executing an agreement, regardless of whether the final document can be or is printed.

"Form" does not include administrative related documents such as letterhead, envelopes, labels, tags, tickets or notepads, one-time surveys, non-mandatory checklists, or Computer Aided Drafting and Design Forms for Contract Plans. Form also does not include lists or libraries in applications such as SharePoint.

**Legally Binding:** A form that sets out in writing the rights and obligations of parties or users of the form. A form referenced in a rule must be processed according to **Section 4.4**. Examples of legally binding forms include: licenses, permits and certifications, as well as applications for licenses, permits and certifications, contracts, leases, and other agreements.

**Legend:** The notation on a form displayed in the upper right corner, which includes the form number, originating office, revision date, page numbering (if more than one page), and Office of General Counsel (OGC) preceding the revision date if the form is legally binding and has been approved by OGC.

**NOTE:** A cite legend is displayed in the upper left corner, if applicable, to list the **Florida Statute** or **Florida Administrative Code Rule** that references the form.

**Originating Office:** The office that develops a form and is responsible for notifying PPMU of required changes and/or removal of obsolete forms. Requests for Form Action can be made using PPMU's SharePoint:

<http://fdotsp.dot.state.fl.us/sites/TransportationSupport/OrgDev/PPM/Lists/Request%20for%20Form%20Action/NewForm.aspx>

**Policy and Process Management Unit (PPMU):** The office within Organizational Development that is the main repository for the Department's forms and has the primary responsibility for form management and publication.

**Public Form:** Any form that solicits information from, or imposes requirements on, persons or groups outside the Department. A public form that is specifically required by statute or by an existing rule must be adopted as a rule pursuant to **chapter 120, F.S.** (see **Section 4.4**). Any such form must be incorporated by reference and filed with the Department of State as part of the Department's rules. Incorporation by reference to the form will only be as it exists at the time of rule adoption. Any revisions of such forms must be adopted by rule amendment as required

by **section 120.55(1)(a)4, F.S.** This does not include general information gathering, such as voluntary surveys.

**Revision Date:** The date noted in the legend of the latest version of the form, consisting of the first two digits representing the month and the last two digits of the year (MM/YY).

## RESPONSIBILITIES

### POLICY AND PROCESS MANAGEMENT UNIT (PPMU)

- PPMU maintains the repository for the Department's official forms and has the primary responsibility for form management and publication. Unless an exception is granted, all electronic versions of forms are to be accessed and controlled through FIMS or another system approved by PPMU.
- It is the responsibility of PPMU to determine if a form meets the definition of an official form and to ensure the integrity, availability, and access method for all Department forms. Likewise, PPMU is responsible for determining how an electronic version of a form is to be created and utilized.
- It is the responsibility of PPMU to help ensure that originating offices coordinate forms with the Office of Comptroller (OOC), OGC, or other affected offices that hold legal or financial responsibility for the data on the form.

### ORIGINATING OFFICE

- It is the responsibility of the originating office to plan the content for new and revised forms. PPMU will provide support in rendering the design, functionality, and efficiencies of the form. Revisions will not be processed by the PPMU without authorization by the contact person or designee.
- Originating offices that frequently receive requests to modify forms to meet specific project needs critical to the Department's production process should establish a process to ensure a timely response. If a request is denied, the response by the originating office shall explain in detail the basis for the denial.
- The originating office must coordinate, distribute, and arrange for necessary testing and training associated with a new or revised form.
- The originating office is responsible for developing any procedural documents or instructions for processing the form.
- It is the responsibility of each originating office to biennially evaluate existing forms for accuracy and compliance requirements. Similar forms that solicit the same information will be combined where feasible to reduce redundancy. Information requested should be necessary for the performance of the agency function or to support the proposed activity.

- When planning forms, originating offices should carefully consider the need for information that is exempt from public records disclosure. If the information is not absolutely necessary (e.g., employee social security numbers) it should not be requested in the form (see **section 119.071(4)(a)1, F.S.**).
- Originating offices are responsible for consulting with PPMU before publication of web pages using official forms. Offices are permitted to connect to the FIMS site through links. Production of official forms by means other than linking to FIMS is prohibited.
- If the form is legally binding or has financial impact on the Department, PPMU will coordinate with the OGC and/or OOC to secure required reviews and documented approval prior to implementing the initial or revised version.

## EMPLOYEES

- It is the responsibility of all Department employees using Department forms to recommend to the contact person any changes that might eliminate, combine, enhance, or simplify forms. The name of the contact person for each form may be found under the "Detail" button in FIMS. This site allows users to submit comments online about a form at any time. As these comments are received, they will be addressed by either PPMU or the originating office.
- All Department employees reviewing Department forms should also review any related procedural documents or rules for need, usefulness, improvements, or consolidation.
- It is the responsibility of all Department employees to ensure they are using the most current version of a form.

## OFFICE OF GENERAL COUNSEL

- New forms or revisions to existing forms that involve a legally binding process must be reviewed and approved by OGC prior to being implemented.

Many Department forms have legal implications and cannot be revised or altered by PPMU or other offices without authorization from the originating office after coordination with OGC. In accordance with **Section 4.4**, OGC will ensure compliance with any rule requirements and protect the integrity of the Department's legal documents.

- New computer applications or proposed revisions to existing computer applications that have electronic forms or entry screens used to gather or process information that legally binds the Department or affects Department contracts must be reviewed by OGC for approval prior to implementation.

## OFFICE OF COMPTROLLER

- New forms or revisions to an existing form that involve a process in which the Department's finances will be affected must be reviewed and approved by OOC prior to being implemented.
- New computer applications or proposed revisions to existing computer applications that have electronic forms or entry screens used to gather or process information affecting Department's finances must be reviewed by OOC for approval prior to implementation.

## 1. STANDARDS AND FORMAT

**1.1** FIMS allows forms to be maintained in multiple formats, such as Word, Excel, HTML, SharePoint, and PDF. PPMU will continue to consult with originating offices to determine the best format for the development and use of Department forms.

**1.2** Form numbers are assigned by PPMU using the following numbering system:

- The first three digits are the topic number that identifies the subject (not the office).
- The next three subtopic numbers define a more specific description of the program area.
- The last two digits are the numerical sequence for each topic/subtopic combination.

**XXX – XXX – XX**  
(Topic)      (Subtopic)      (Sequence)

**1.3** Whenever possible, forms should be formatted to accommodate standard paper size.

**1.4** Each form will be uniquely identified by its legend which appears in the upper right corner of the form.

**1.5** The revision date shall be the month and year the form is approved, in MM/YY format. Forms incorporated by reference into a rule are not effective until the rule's effective date.

**1.6** If a form is referenced in the **Florida Administrative Code**, the following statement will be inserted into the "forms" section of associated procedural documents of the Department:

*This form is incorporated by reference into **Rule XX-XX, Florida Administrative Code**, and any revisions, additions or updates to this form must be coordinated with the Office of the General Counsel for Administrative Code update.*

## 2. REQUEST FOR FORM DEVELOPMENT OR REVISION

**2.1** When a form needs to be **created**, the contact person must submit a Request for Form Action (RFA) using PPMU's SharePoint site and attach a rough draft of the proposed form to their submission. PPMU will process the request in accordance with the RFA and forward a draft to the contact person for final review and approval. The contact person

will fully test the new form to ensure the design and all requested form controls have been correctly implemented. When the form has been approved, the contact person must respond in writing giving approval for PPMU to proceed with publishing the new form.

**2.2** When a form needs to be **revised**, the contact person must submit an RFA using PPMU's SharePoint site and attach the most current version of the form marked with revisions. PPMU will process the request in accordance with the RFA and forward a draft to the contact person for final review and approval. The contact person will verify all changes have been correctly implemented then provide his/her approval in writing in order to proceed with publishing the revised form.

**2.3** The Policy Management Unit will:

(a) Analyze the completed RFA for compliance with this procedure.

(b) Approve the request for processing if in compliance with this procedure, or advise the originating office why the request will not be processed.

(c) Ensure coordination with the OGC and OOC, as applicable (see **Section 4, Form Coordination and Review**).

(d) Assign a form number (see **Topic and Subtopic Numbers, Procedure No. 025-020-009**) for any new form that has been approved by PPMU for processing, and enter the form number and form information into FIMS.

**2.4** The Policy Management Unit may also make recommendations for improvements to the form or suggest combining with another form, if applicable, to reduce redundancy.

### **3. FORM COORDINATION AND REVIEW**

**3.1** PPMU will work with the contact person to determine needed reviews. The contact person is responsible for coordinating new or revised forms with affected offices.

#### **3.2 FORMS REFERENCED IN PROCEDURAL DOCUMENTS OR RULES**

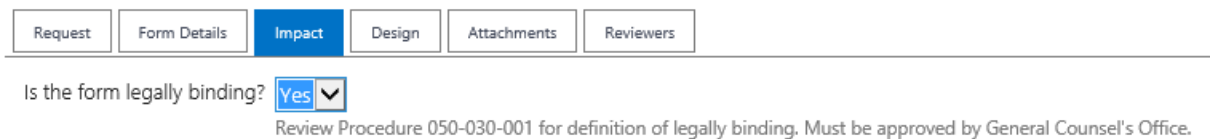
**3.2.1** All forms referenced in procedural documents are analyzed to determine their status by the PPMU Forms Administrator during the review process. The release of forms held pending the release of the associated procedural document is coordinated by PPMU.

**3.2.2** All forms referenced in **Florida Administrative Code** are analyzed to determine their status by the Forms Administrator during the review process. The release of forms held pending the release of the related rule is coordinated between OGC and PPMU. These forms must be promulgated pursuant to the Chapter 120 rulemaking process.

#### **3.3 LEGALLY BINDING FORMS**

**3.3.1** Forms that are legally binding must be reviewed and approved by OGC as stated previously. The following explains the process:

1. The contact person prepares the "draft" form.
2. The contact person will complete an RFA using PPMU's SharePoint site. In the RFA, the contact person must navigate to the **IMPACT** tab and select **YES** to the question "Is this form legally binding," and then attach a draft of the form to their submittal.



Request Form Details **Impact** Design Attachments Reviewers

Is the form legally binding?  ▼

Review Procedure 050-030-001 for definition of legally binding. Must be approved by General Counsel's Office.

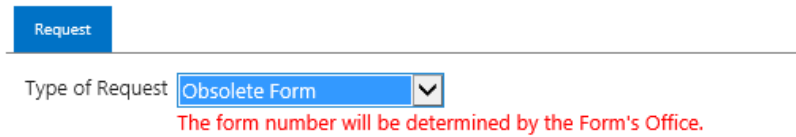
3. If comments are received that require additional revisions to the form, the Forms Administrator will notify the contact person via e-mail that additional changes are required by OGC.
4. If further revisions to the "draft" form are **not** required, approval from OGC will be documented and the form will be published in FIMS for implementation by the Department.

## 4. IMPLEMENTATION OF FORM

- 4.1 When a "draft" form has been approved for release, PPMU will initiate the appropriate process to ensure the form is available to users in FIMS.
- 4.2 The form will be available to users by the date the rule or other operating instructions become effective or the date the instructions are distributed to the users.
- 4.3 A form referenced in a rule must be processed through the OGC for filing in accordance with the ***Administrative Procedure Act, chapter 120, F.S.***, and ***Procedure No. 025-010-003, Rule Development and Adoption***, before it can be officially implemented.
- 4.4 If the Department is required to use the forms of other governmental agencies, the primary office responsible for the use of the form will manage the form, ensuring the form distributed to users is current.
  - 4.4.1 PPMU will manage non-Department forms that the Department is authorized to change (such as Position Descriptions). With the approval of the owning agency, these non-Department forms will be processed as outlined in ***Section 3, Request for Form Development***.

## 5. OBSOLETE OR DISCONTINUED FORMS

- 5.1** When a form is no longer required (i.e., becomes obsolete) and will not be replaced by a revised version, the contact person must complete an RFA using PPMU’s SharePoint site and select **OBSOLETE FORM** as the “Type of Request.” PPMU will update FIMS.



Request

Type of Request **Obsolete Form** ▼

The form number will be determined by the Form's Office.

- 5.2** The originating office is responsible for immediately notifying impacted users if a form is obsolete or discontinued.

- 5.3** On the first business day of each month, PPMU will provide a list of all revised, new, or obsoleted forms to all Department employees.

## **6. TRAINING**

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

## **7. FORMS**

The following forms are available in the Department’s Forms Library:

Form No. 050-030-01

Request for Form Action