

Records Management Plan

for the

**City of DeBary
Florida**

March 10, 2014

Proposal and Statement of Qualifications

**John Scott Dailey
Florida Institute of Government
at
University of Central Florida
407-882-3960**

and



SML, Inc.

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March 7, 2014

Kassandra Blissett, ICMA-CM
Assistant City Manager
City of DeBary
16 Colomba Rd.
DeBary, FL 32713
Emailed to: kblissett@debary.org

Ms. Blissett,

It was very nice speaking with you again this morning. I'm pleased to propose development of a comprehensive records management plan for the City. I think this a wonderful opportunity to improve your records processes and I am confident that our services will be of the utmost benefit to the City.

This document serves to give you a formal statement of my qualifications and to clearly describe the services I perform. As discussed, procurement shall proceed through the **University of Central Florida, Institute of Government (UCFIOG)**. UCFIOG will send you an agreement to sign that will list the deliverables and other basic information. By Florida Statute, the city is able to procure services and commodities directly from a State University without the usual formal bid process. I've attached the relevant section at the end of this letter. By copy of this proposal I shall inform their Director of our intentions.

Collections of records like those held by the City must be accounted for and integrated into a comprehensive, systematic, efficient records management plan. This plan must be based on specific data relative to the agency and its operations. The plan must be long-range and it must be written. Listed are the specific goals a comprehensive records program should achieve as I intend to prepare for the City of DeBary:

- 1. retention and disposition of records in accordance with all local, state and federal requirements;**
- 2. management access to both active and inactive records in an accurate and timely fashion (to include a filing *system* and consideration of imaging potential);**
- 3. retention of all records under secure conditions, preventing unauthorized access by both employees and third parties;**
- 4. protection of all records from physical calamity and decay;**

5. **provision for the timely destruction of records at the end of their retention period in a secure manner;**
6. **conversion of long term retention records to an appropriate preservation device;**
7. **provision for disaster recovery, vital records protection; and**
8. **achievement of these goals in the most cost-efficient manner available.**

The plan will describe in detail steps to be taken to achieve all eight goals described above. **Included in this plan will be specific recommendations and where appropriate, bid specifications for implementation. The plan will define public records; detail scheduling, disposition and imaging requirements/options including destruction, microfilm and digital imaging; make organizational structure recommendations related to record operations; analyze current records management procedures and provide comment and/or draft recommended record policy and procedures. I will address offsite storage requirements, vital records protection and disaster recovery, making recommendations for the city. The plan will address filing system design and automated file code tracking system and/or boxed record index, word searchable, written to Microsoft Access or Excel. I will prepare a Disposition List for the agency, and Record Retention Request documents as required by Rule Chapter 1B-24, Florida Administrative Code. Further, I will write a training manual to be used by personnel with record responsibilities.**

Except for clerical functions, I will perform all related project activity. All data analysis and recommendations will be my personal responsibility. **The Plan will include relevant data and narrative explanations; recommendations for all aspects of records management and an implementation plan. The Plan will include a list of references and published sources used during preparation.**

Traditional data collection and analysis techniques will be employed including but not limited to: on site interviews with relevant staff; hands on evaluation of high density and key record collections; an evaluation of activity; review and analysis of existing policy and procedures. A thorough review and analysis of record management operations will be made resulting in a comprehensive narrative records management plan including an email solution. I expect to be on site for three to five days for data collection. Analysis and writing may require three or four weeks for completion after data collection.

The fee UCF will quote for the on-site visit, data collection, writing the Plan and providing the training is **\$18,000.00 which sum includes travel and related expenses**. The total fee will be billable upon delivery of the written Plan. In addition to these billable services, I will return following the delivery of the plan to present findings

and recommendations to management and if requested, I will provide a one-day, six hour training at no additional cost. Many of our clients request we update their Plan every two to three years to remain legally compliant, current with technology and current business process changes. **Plan updates will be billed at 25% of the initial Plan fee if written within this two to three year window.**

Our Firm is able to assist the City with implementation of the records management plan. Our staff is able to greatly increase implementation speed because of our experience and practice. Implementation services would include on-site technical assistance of nearly any records related service. This would include identifying records eligible for destruction, implementation of a file code system, and indexing. **The fee quoted by UCF for these services is \$1,600.00 per eight hour day. Lodging and vehicle mileage at the current IRS deduction rate is payable directly to SML, Inc.** Your agency would provide a place to work (table, chair and electricity for computers) boxes or storage containers if necessary and any related record destruction process (i.e. shredding).

Steve M. Lewis, Inc. (SML, Inc.) has worked with numerous agencies on similar projects. In recent years, we've completed comprehensive records management plans for dozens of agencies including the City of Madeira Beach, the City of Clermont, Tampa Port Authority, the City of Miami Beach and the Orlando-Orange County Expressway Authority. We also maintain long working relationships with many clients continuing to assist and monitor implementation as might be appropriate for your agency. This includes the City of Clermont where we have **disposed of over 7,000 cubic feet of paper records to date.** We have a similar on-going experience with the City of Margate, the City of Indian Rocks Beach, and the Collier County School District where we have destroyed over **69 million** pieces of paper.

Numerous references are available upon request. I have over twelve years of professional experience managing Florida Public Records beginning in 2002 as a Records Clerk with the St. Johns County Clerk of the Circuit Court. Prior to my Vice President position with SML, Inc., I worked as a Records Analyst with the Records and Information Management Program of the Florida Department of State, State Library and Archives providing technical assistance to all levels of Public Agencies; developing statewide policies and procedures; assisting in the operation of the State Records Center; and conducting regional seminars on Public Records Law and Public Records Management. I hold a Master of Arts degree in Public History/Historical Administration from Florida State University, with a concentration in Records and Archives Management.

SML, Inc. has over forty years of professional experience working with nearly every type and size of agency. We provide innovative and comprehensive records and information management consulting services to government agencies and the private sector including, but not limited to, Comprehensive Records and Information Management Planning; Records Retention Services; Disposition Services; Email Management; Training; Policy and Procedure Development; Facilities Management;

and Compliance Monitoring. Additionally, we regularly conduct 12-hour seminars for CEU's at FSU, UCF, FAU and FIU on Public Records Law and Public Records Management. These seminars are certified for credit by the IIMC for the Certified Municipal Clerk and Master Municipal Clerk program and ongoing education. We also conduct public records courses as part of the Florida Records Manager's Certification as offered by the Florida Association of Records Managers (FRMA).

I look forward to working with you and your staff on this project. Please give me a call to discuss any of this you wish.

Sincerely,

A handwritten signature in black ink, appearing to read "Matt Daugherty". The signature is written in a cursive style with a large initial "M".

Matt Daugherty

CC: Marilyn Crotty, Director, UCF IOG; Steve Lewis, SML, Inc.

List of Recent Florida Clients:

Municipalities

City of Anna Maria
City of Altamonte Springs
City of Clermont
City of Coral Gables
City of Doral
City of Gulfport
City of Haines City
City of Indian Rocks Beach
City of Madeira Beach
City of Madison
City of Margate
City of North Lauderdale
City of Seminole
City of St. Pete Beach
City of Titusville
City of Venice
City of Winter Park

Counties

Bay Co. Board of County Commission
Charlotte Co. Board of County
Commission
Collier Co. School Board
Manatee Co. Tax Collector
Palm Beach Co. Tax Collector
Seminole Co. Board of County
Commissioners
St. Johns Co. Tax Collector

St. Lucie Co. Growth Management

State Agencies/Universities

Florida Atlantic University
Florida Department of Revenue
Florida Gulf Coast University
Florida State University
University of Central Florida
University of South Florida

Other

Broward County City Clerk's Association
Florida Association of City Clerks
Florida Association of Court Clerks and
Comptrollers
Florida Association of Code
Enforcement
Florida Records Management
Association
Florida Tax Collectors Association
Manasota League of Cities
Orlando-Orange Co. Expressway
Authority
Palm Beach County City Clerk's
Association
Tampa Port Authority
St. Johns River Water Management
District
Suncoast Workforce, Inc.

287.057 Procurement of commodities or contractual services.

(3) When the purchase price of commodities or contractual services exceeds the threshold amount provided in s. [287.017](#) for CATEGORY TWO, no purchase of commodities or contractual services may be made without receiving competitive sealed bids, competitive sealed proposals, or competitive sealed replies unless:

(e) The following contractual services and commodities are not subject to the competitive-solicitation requirements of this section:

1. Artistic services. As used in this subsection, the term “artistic services” does not include advertising or typesetting. As used in this subparagraph, the term “advertising” means the making of a representation in any form in connection with a trade, business, craft, or profession in order to promote the supply of commodities or services by the person promoting the commodities or contractual services.
2. Academic program reviews if the fee for such services does not exceed \$50,000.
3. Lectures by individuals.
4. Legal services, including attorney, paralegal, expert witness, appraisal, or mediator services.
5. Health services involving examination, diagnosis, treatment, prevention, medical consultation, or administration. The term also includes, but is not limited to, substance abuse and mental health services involving examination, diagnosis, treatment, prevention, or medical consultation if such services are offered to eligible individuals participating in a specific program that qualifies multiple providers and uses a standard payment methodology. Reimbursement of administrative costs for providers of services purchased in this manner are also exempt. For purposes of this subparagraph, the term “providers” means health professionals and health facilities, or organizations that deliver or arrange for the delivery of health services.
6. Services provided to persons with mental or physical disabilities by not-for-profit corporations that have obtained exemptions under s. 501(c)(3) of the United States Internal Revenue Code or when such services are governed by Office of Management and Budget Circular A-122. However, in acquiring such services, the agency shall consider the ability of the vendor, past performance, willingness to meet time requirements, and price.
7. Medicaid services delivered to an eligible Medicaid recipient unless the agency is directed otherwise in law.
8. Family placement services.
9. Prevention services related to mental health, including drug abuse prevention programs, child abuse prevention programs, and shelters for runaways, operated by not-for-profit corporations. However, in acquiring such services, the agency shall consider the ability of the vendor, past performance, willingness to meet time requirements, and price.
10. Training and education services provided to injured employees pursuant to s. 440.491(6).
11. Contracts entered into pursuant to s. 337.11.

12. Services or commodities provided by governmental entities.

13. Statewide public service announcement programs provided by a Florida statewide nonprofit corporation under s. 501(c)(6) of the Internal Revenue Code which have a guaranteed documented match of at least \$3 to \$1.