HOUSE OF REPRESENTATIVES COMMITTEE ON TOURISM ANALYSIS

BILL #: HB 539 (PCB TU 01)

RELATING TO: Public Records

SPONSOR(S): Committee on Tourism, Representative Trovillion and others

TIED BILL(S):

ORIGINATING COMMITTEE(S)/COUNCIL(S)/COMMITTEE(S) OF REFERENCE:

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I. <u>SUMMARY</u>:

The bill reorganizes Chapter 119, F.S., the Public Records Act, so that similar topics are grouped topically. No changes are made to definitions or standards in the bill unless required by Art. I, s. 24 of the State Constitution.

The bill substantially amends ss. 119.01; 119.011; 119.021; 119.07; 119.084; and 119.05, F.S., and repeals ss. 119.0115; 119.012; 119.02; 119.031; 119.041; 119.05; 119.06; 119.08; 119.083; 119.085; 119.09; and 119.10, F.S.

The bill also amends various sections of law identified by state agencies either for reduction of timeframes for or elimination of retention of specific records because retention requirements are no longer relevant to the respective agency's statutory requirements, records are being maintained by another agency, retention timeframe is inordinate, records are required to be maintained in outdated formats, or records are retained in a format or timeframe contrary to state records retention laws. The bill amends certain sections containing the phrases "permanent record" or "permanent file" to clarify that such records do not require indefinite retention, but retention pursuant to state records retention policy.

The bill amends s. 257.36, F.S., to require the following: when any agency duty or responsibility is transferred to another agency or entity, the receiving agency or entity is the official custodian of records; when an agency or entity is dissolved and there is not a successor agency or entity, the Executive Office of the Governor is the official custodian of records; designation of the custodian of records shall be in accordance with s. 119.021, F.S.; and, the custodian of records is responsible for payment of records storage service charges.

The bill repeals ss. 212.095(6)(d), 238.03(9), and 591.34, F.S., relating to refunds from the Department of Revenue, the Department of Management Services' Teachers Retirement System, and the Department of Agriculture's seed tree cutting program, respectively.

There may be cost savings associated with revisions to Ch. 119, F.S. Also, the Department of State concludes the state will realize a cost avoidance of approximately \$86.00 per cubic foot per year which includes personnel cost, floor space, filing equipment, and supplies. The exact impact is not able to be determined at this time.

II. SUBSTANTIVE ANALYSIS:

A. DOES THE BILL SUPPORT THE FOLLOWING PRINCIPLES:

1.	Less Government	Yes [X]	No []	N/A []
2.	Lower Taxes	Yes []	No []	N/A [X]
3.	Individual Freedom	Yes []	No []	N/A [X]
4.	Personal Responsibility	Yes []	No []	N/A [X]
5.	Family Empowerment	Yes []	No []	N/A [X]

For any principle that received a "no" above, please explain:

B. PRESENT SITUATION:

Public Records Management

Chapter 119, F.S., the Public Records Act, contains policy statements regarding public records; maintenance and custody requirements; inspection, copying and fee standards; an exemption review process; and exemptions. Since the chapter was first enacted in 1967, it has been amended numerous times but it has not undergone a comprehensive review and revision. As a result, it has become somewhat disorganized.

In addition to Chapter 119, F.S., numerous other statutes require state and local agencies to retain and store records that have historical or other value. The statutes specify retention periods from 2 to 30 years, depending on the type of record, and may authorize destruction following these periods. Other types of public records are to be permanently retained.

Specifically, Florida's Public Records Law, Chapter 119, F.S., defines "public records" and establishes requirements of all governmental agencies for the access, maintenance, and disposition of such records. The Department of State, Division of Library and Information Services, Bureau of Archives and Records Management is charged by law, s. 257.36(1)a., F.S., to establish and administer a records management program directed to the application of efficient and economical management methods relating to the creation, utilization, maintenance, retention, preservation, and disposal of public records and the Florida State Archives.

The bureau provides schedules for minimum records retention to state and local government, approves or disapproves their requests for destruction, establishes standards for creation, use and storage of records, provides training and technical assistance services on the management and preservation of records, and operates the records storage center in Tallahassee, Florida.

The Florida State Archives is the central repository for the archives of state government and is mandated by law to collect, preserve, and make available for research the historically significant records of the state, as well as private manuscripts, local government records, photographs, and other materials that complement the official state records.

The Bureau of Archives and Records Management was allocated 50.5 positions in fiscal year 2000-01, consisting of records analysts, records warehouse staff, reference and collection archivists, and STORAGE NAME: h0539.tu DATE: December 3, 2001 PAGE: 3

microfilm production staff. Budget allocations for the bureau during this period amounted to \$3,080,000 of which \$400,000 was in non-recurring funds.

During the 2001 interim, the Tourism Committee reviewed the state's record management system as one of its three interim studies. The impetus of the report was a 1999 OPPAGA review which had concluded that there was confusion regarding records retention and destruction and the continued concern that these issues had not been resolved. In the OPPAGA report it was suggested that the Legislature needed to review possible statutory changes to correct such confusion.

The Committee directed that the study determine what provisions in law needed to be revised to address outdated, ambiguous, or nonessential statutory requirements that may impose an unnecessary burden on the state. Based upon a survey of state agencies, follow-up questions of agencies, meetings with the Bureau of Archives and Records Management of the Department of State, review of state law, and meetings with various House Committee staff concerning changes proposed, the *Records Management for State Agencies Report* provided the findings of the study efforts and policy options that suggested statutory changes for reduction of timeframes for or elimination of retention of specific agency records.

This was proposed because retention requirements for those records are no longer relevant to the respective agency's statutory requirements, records are being maintained by another agency, retention timeframe is inordinate, records are required to be maintained in outdated formats, or records are retained in a format or timeframe contrary to state records retention laws. As part of confusion regarding length of retention, the report suggested that several sections of law containing the phrases "permanent record" or "permanent file" should be reviewed for possible statutory clarification. Since some of these records appeared to be material that did not require indefinite retention, but retention pursuant to state records retention policy. Finally, one finding of the report pertained to the lack of designation of an official custodian for the records of a state agency when it is completely dissolved and there is no successor agency leaving questions of public access, records retention decisions, and payment for records storage.

From the options presented to the Committee on Tourism at its October 9, 2001 meeting, the Committee directed staff to prepare legislation to address statutory issues addressed in the report. At the November 27, 2001 meeting, the Committee approved the report, removed it from "draft" status, and discussed, amended, and unanimously passed a committee bill that addressed issues raised in the report.

Senate Interim Project 2002-135 Relating to Public Records

The Senate President assigned the Committee on Governmental Oversight and Productivity an interim project to review Ch. 119, F.S., to make the multiple exemptions to public records requirements easier to locate. The project, which is *Interim Project Report 2002-135*, was conceived as a multi-year, multi-stage project with the first phase including a comprehensive review and reorganization of the Public Records Act. Later stages were proposed to include a review of various exemptions, and to include proposals for the creation of a section in Ch. 119, F.S., for general exemptions that apply across agencies, as well as agency-specific sections for exemptions that apply solely to a particular agency.

Interim Project 2002-135 notes that Ch. 119, F.S., currently contains a definition section, but definitions of terms that are used in the act are also dispersed throughout it. As a result, it is sometimes difficult to locate definitions. Further, the terms that are in the definition section are not alphabetized. If definitions of all terms that are used in the Public Records Act were placed in the definition section and alphabetized, the average user could find definitions more easily. Further, the

report notes that some definitions in Ch. 119, F.S., are specifically tied to definitions that are contained in other chapters. Given that Ch. 119, F.S., provides general requirements for public records, the report notes that it would be appropriate for that chapter to contain all general standards and definitions for public records and that cross-references be made to definitions in Ch. 119, F.S., and not the reverse.

As previously stated in the "Public Records Management" section of the Present Situation, Chapter 119, F.S., contains a specific section for general state policy on public records, but additional policy statements are contained in other sections of the chapter. The report notes, for example, s. 119.084, F.S., which relates specifically to requirements for the copyright of public records, also contains policy statements regarding common format of electronic records, the type of copy that must be provided to the public on request, and a prohibition against entering into contracts which impair public access. These policy statements are general in nature and should be placed in the general policy section.

In addition to public policy statements, the report notes that fee requirements are also dispersed. Fees for copies of public records are contained in ss. 119.07(1)(a) and (b), 119.083(5), and 119.085, F.S. The report notes that these requirements could be located in one section for ease of use and clarity. Once fee requirements are placed in one section, comparative analysis of the current fee structures will be facilitated. Additionally, the report notes that co-locating fee requirements may help to establish fee consistency among agencies and encourage compliance.

Records maintenance, retention schedules, and records destruction requirements are also contained in different sections of the act. Currently, the Division of Library and Information Services of the Department of State is assigned a number of duties in these areas. According to the report, the provisions that assign the division responsibilities sometimes appear to overlap with other provisions which place duties on agencies. Clarification of duties and responsibilities, as well as reorganization of specific requirements for maintenance and preservation of public records, would improve the act.

Finally, the report notes that there does not appear to be a consistent method for the location of exemptions to public records requirements. The Public Records Act contains a subsection that contains a litany of exemptions. These exemptions are not organized in any particular fashion, such as by agency or type. Further, there are many exemptions that are not located in the Public Records Act, but are instead found within the statutory chapters to which they relate.

C. EFFECT OF PROPOSED CHANGES:

The bill reorganizes Chapter 119, F.S., the Public Records Act, so that similar topics are grouped topically. No changes are made to definitions or standards in the bill unless required by Art. I, s. 24 of the State Constitution.

This bill substantially amends ss. 119.01; 119.011; 119.021; 119.07; 119.084; and 119.05, F.S., and repeals ss. 119.0115; 119.012; 119.02; 119.031; 119.041; 119.05; 119.06; 119.08; 119.083; 119.085; 119.09; and 119.10, F.S.

The bill also amends various sections of law identified by state agencies either for reduction of timeframes for or elimination of retention of specific records because retention requirements are no longer relevant to the respective agency's statutory requirements, records are being maintained by another agency, retention timeframe is inordinate, records are required to be maintained in outdated formats, or records are retained in a format or timeframe contrary to state records retention laws. The bill amends certain sections containing the phrases "permanent record" or

STORAGE NAME: h0539.tu DATE: December 3, 2001 PAGE: 5

> "permanent file" to clarify that such records do not require indefinite retention, but retention pursuant to state records retention policy.

> The bill amends s. 257.36, F.S., to require the following: when any agency duty or responsibility is transferred to another agency or entity, the receiving agency or entity is the official custodian of records; when an agency or entity is dissolved and there is not a successor agency or entity, the Executive Office of the Governor is the official custodian of records; designation of the custodian of records shall be in accordance with s. 119.021, F.S.; and, the custodian of records is responsible for payment of records storage service charges.

The bill repeals ss. 212.095(6)(d), 238.03(9), and 591.34, F.S., relating to refunds from the Department of Revenue, the Department of Management Services' Teachers Retirement System, and the Department of Agriculture's seed tree cutting program, respectively.

D. SECTION-BY-SECTION ANALYSIS:

Section 1. Amends subsection (1) of s. 18.20, F.S., to remove the word "permanent" regarding the Treasurer's reproductions of warrants, records, and documents.

Section 2. The bill transfers existing policy statements from other areas of the Public Records Act into an existing general state policy section.

The following existing subsections have been transferred into s. 119.01, F.S.:

- Section 119.083(4), F.S., currently requires an agency to consider when designing or acquiring an electronic recordkeeping system that it is capable of providing data in a common format. This requirement is maintained, though it is renumbered as 119.01(3)(b) of the bill.
- Section 119.083(6), F.S., currently prohibits an agency from entering into a contract for the creation or maintenance of a public records database if that contract would impair the ability of the public to inspect or copy public records. This requirement is maintained, though it is renumbered as s. 119.01(3)(c) of the bill.
- Section 119.083(3), F.S., currently prohibits agency use of proprietary software from diminishing the right of the public to inspect and copy a public record, subject to restrictions of copyright and trade secrets laws and public records exemptions. This requirement is maintained, though it is renumbered as s. 119.01(3)(d) of the bill.
 - Section 119.083(5), F.S., currently requires an agency to provide a copy of any public record stored in an electronic system, if not exempt. If the agency maintains the record in a particular medium requested by a person, it must provide it in that medium. An additional fee is authorized if the record is not kept in the medium requested and the agency elects to provide it in the requested medium. This requirement is maintained, though it is renumbered as s. 119.01(3)(f) of the bill.
 - Section 119.012, F.S., currently provides that if public funds are expended in payment of dues or membership contributions, all financial, business, and membership records of that organization that pertain to the agency are public records. This requirement is maintained, though it is renumbered as s. 119.01(4) of the bill.

• Subsection (4) of s. 119.01, F.S., relates to the disposal of public records that do not have sufficient value to retain. This provision is removed from s. 119.01, F.S., and moved to s. 119.021(3) of the bill.

Section 3. Transfers various definitions that are distributed throughout the Public Records Act into the existing definition section and alphabetizes the definitions. The following definitions are transferred into the section:

- Section 119.07(1)(a), F.S., defines the term "actual cost of duplication". This term becomes s. 119.011(1) of the bill.
- Section 119.021, F.S., defines the term "custodian of public records". This term becomes s. 119.01(5) of the bill.
- Section 119.07(3)(o)1., F.S., defines the term "data processing software". This term becomes s. 119.01(6) of the bill.
- Section 119.07(1)(a), F.S., defines the term "duplicated copies". This term becomes s. 119.01(7) of the bill.
- Section 119.15(3)(e), F.S., defines the term "exemption". This term becomes s. 119.01(8) of the bill.
- Section 119.07(1)(b), F.S., defines the term "information technology resources". This term becomes s. 119.01(9) of the bill.
- Section 119.084(1)(c), F.S., defines the term "proprietary software". This term becomes s. 119.01(10) of the bill.
- Section 119. 07(3)(o)2., F.S., defines the term "sensitive". This term becomes s. 119.01(12) of the bill.

Other definitions in the section are redesignated as a result of alphabetizing the definitions.

Section 4. Repeals ss. 119.0115, 119.012, and 119.02, F.S., though the requirements of these sections remain in effect because they have been transferred to other sections of the Public Records Act in the bill. Specifically:

- Section 119.0115, F.S., which exempts certain videotapes and signals, is transferred to s. 119.07(3), F.S., which contains exemptions.
- Section 119.012, F.S., which establishes a policy that private organization records relating to an agency that uses public funds to pay dues or membership contributions are public records, is transferred to s. 119.01, F.S., which establishes general policy requirements.
- Section 119.02, F.S., which establishes a penalty for violation of Ch. 119, F.S., is moved to s. 119.10, F.S., which also contains penalties for violation.

Section 5. Substantially rewords s. 119.021, F.S., relating to designation of a custodian. The section now includes custodial requirements relating to the maintenance, preservation, and

retention of public records. Existing provisions from other sections of Ch. 119, F.S., were transferred into this section.

Section 6. Repeals ss. 119.031, 119.041, 119.05, and 119.06, F.S., though the requirements of these sections remain in effect because they have been transferred to other sections of the bill. Specifically:

- Section 119.031, F.S., currently establishes safety requirements for the maintenance of vital, permanent, or archival records. This requirement is transferred to s. 119.021(1)(b) of the bill.
- Section 119.041, F.S., currently establishes regulations for the destruction of public records. This requirement is transferred to s. 119.021(3)(c) of the bill.
- Section 119.05, F.S., currently establishes regulations for the disposal of public records at the end of an official's term. This requirement is transferred to s. 119.021(5)(a) of the bill.
- Section 119.06, F.S., currently authorizes a person who is entitled to custody of public records to demand them from any person having illegal possession of them. This provision is transferred to s. 119.021(5)(b) of the bill.

Section 7. This section accounts for most of provisions in the bill related to changes to Ch. 119, F.S. Provisions related to public record exemptions that are currently located in various sections of Ch. 119, F.S., are transferred to subsection (1) of this section. For example, redaction of information by a custodian; statement of the basis for the redaction of information; when a statement must be made in writing; and the legal process in a civil action.

- Subsection (2) includes standards related to access and copying of public records through photographic means.
- Subsection (3) includes standards related to remote electronic means.
- Subsection (4) includes fee standard provisions.

These modified subsections do not contain any new standards or requirements, but are current requirements that have been co-located topically.

Section 8. Repeals ss. 119.08 and 119.083, F.S., though the requirements of these sections remain in effect because they have been transferred to other sections of the Public Records Act. Specifically:

- Section 119.08, F.S., establishes requirements for photographing public records. These requirements are retained, though they are transferred to s. 119.07(2) of the bill.
- Section 119.083, F.S., establishes general state policy on public records, as well as requirements for copyright of data processing software produced by agencies. The provision was the subject of a mandated review and was re-enacted as s. 119.084, F.S.

Section 9. Amends s. 119.084, F.S. relating to copyright of data processing software created by governmental agencies; sale price; and licensing fees. Policy statements which do not relate to the

issue of copyright are removed from this section because they have been transferred to the general policy section. Additionally, definitions are transferred to the definition section.

Section 10. Repeals ss. 119.085 and 119.09, F.S., though their requirements are transferred to ss. 119.01(3)(f) and 119.021(3)(d), F.S., respectively, of the bill.

Section 11. Clarifies s. 119.10, F.S., which establishes penalties for violation of Ch. 119, F.S..

Section 12. Amends s. 119.105, F.S., relating to protection of victims of crimes or accidents, to remove the reference to "general or special law". This section was removed because under Article I, s. 24 of the State Constitution, an exemption cannot be enacted in special law.

Section 13. Amends paragraph (a) of subsection (1) of s. 120.55, F.S., regarding the Administrative Procedures Act, to remove language relating to publishing in a permanent compilation entitled "Florida Administrative Weekly" and adding language relating to through a continuous revision system, compiling and publishing the "Florida Administrative Code".

Section 14. Amends paragraph (b) of subsection (2) of s. 257.36, F.S., regarding records and information management, to do the following:

- When an agency has been directed to transfer any duty or responsibility to another agency or entity, the receiving agency or entity shall be the official custodian of records in accordance with s. 119.021, F.S., and shall be responsible for records storage service charges of the Division of Library and Information Services.
- If an agency or entity is dissolved with no successor agency or entity, the Office of the Governor shall be the official custodian of records in accordance with s. 119.021, F.S., and shall be responsible for the records storage service charges of the Division of Library and Information Services.

Section 15. Amends subsection (5) of s. 328.15, F.S., regarding the Department of Highway Safety and Motor Vehicles, to remove the words "a permanent" and insert the words "an official" regarding recording of liens records.

Section 16. Amends subsection (4) of s. 372.5717, F.S., to remove the word "permanent" regarding hunter safety certification cards for the Florida Fish and Wildlife Conservation Commission.

Section 17. Amends subsection (2) of s. 560.121, F.S., to reduce the retention examination reports, investigatory records, and applications from 10 years to 3 years from the date that the examination or investigation ceases to be active. In addition, the bill provides for application records and related information compiled by the Department of Banking and Finance or photographic copies to be retained by the Department of Banking and Finance for a period of at least 2 years from the date that the investigation ceases to be active.

Section 18. Amends subsection (6) of s. 560.123, F.S., to reduce the retention of the Department of Banking and Finance's reports of transaction involving currency or monetary instruments from 5 calendar years to 3 calendar years after receipt of the report.

Section 19. Amends subsection (5) of s. 560.129, F.S., to reduce the retention examination reports, investigatory records, and applications from 10 years to 3 years from the date that the examination or investigation ceases to be active. In addition, it provides for application records and

related information compiled by the Department of Banking and Finance or photographic copies to be retained by the Department of Banking and Finance for a period of at least 2 years from the date that the investigation ceases to be active.

Section 20. Amends subsection (3) of s. 624.311, F.S., to allow the Department of Insurance to provide for electronic recordkeeping and removes language that each page will be reproduced in exact conformity with the original.

Section 21. Amends subsection (1) of s. 624.312, F.S., to include other reproductions from an electronic recordkeeping system before October 1, 1982 shall be as admissible in evidence as originals. After October 1, 1982, certified reproductions from an electronic recordkeeping system will be admissible in evidence as originals.

Section 22. Amends subsection (2) of s. 633.527, F.S., to reduce the retention for all examination test questions, answer sheets, and grades administered under the State Fire Marshall from 5 years to 2 years from the date of examination.

Section 23. Removes paragraph (a) of subsection (8) of s. 655.50, F.S., relating to the Department of Banking and Finance retaining copies of certain reports, because the department no longer receives paper copies of currency transaction report forms since these reports are electronically filed with the federal government and maintained in a data base that can be accessed readily by the department's Investigations Office.

In addition, the bill amends current paragraphs (c) and (d) of subsection (8) of s. 655.50, F.S., to remove the 10 year retention requirement and provide for a 5 year retention requirement as contained in 31 C.F.R., parts 103.33 and 103.34, which is the minimum federal retention schedule contained in the federal code, except for trust companies, which are only state regulated.

Section 24. Amends s. 945.25(1), F.S., to replace the word "permanent" with the word "official" and replaces the words "may be practicably available" with the word "practical". In addition, the bill removes s. 945.25(2), F.S., regarding permanent records of persons placed on probation and every person who may be subject to pardon and commutation of sentence. This section is being removed due to the statutory elimination of parole for most offenses committed on or after October 1, 1983 and all remaining cases for commitments committed on or after October 1, 1995.

Section 25. Amends paragraph (e) of subsection (4) of s. 985.31, F.S., to remove the word "permanent" from a child's medical file for serologic blood or urine test on a serious or habitual juvenile offender.

Section 26. Repeals s. 212.095(6)(d), F.S., which requires the Department of Revenue to keep a permanent record of the amount of refunds claimed and paid under Ch. 212. F.S., and which requires that such records shall be open to public inspection.

Section 27. Repeals s. 238.03(9), F.S., relating to the authority of the Department of Management Services to photograph and reduce to microfilm as a permanent record, its ledger sheets showing the salaries and contributions of members of the Teachers' Retirement System in Florida, the records of deceased members of the system, and the authority to destroy the documents from which such film derive.

Section 28. Repeals s. 591.34, F.S., eliminating a procedure by which permission may be obtained from the Department of Agriculture and Consumer Services to cut seed trees.

STORAGE NAME: h0539.tu DATE: December 3, 2001 PAGE: 10

Section 29. Designates the Department of State's Records Management Center in Tallahassee, Florida as the "James C. 'Jim' Smith Records Management Center".

Section 30. Provides for a July 1, 2002 effective date.

III. FISCAL ANALYSIS & ECONOMIC IMPACT STATEMENT:

- A. FISCAL IMPACT ON STATE GOVERNMENT:
 - 1. <u>Revenues</u>:

See FISCAL COMMENTS.

2. Expenditures:

There will be minimal costs associated with the designation of the Department of State's Records Management Center.

- B. FISCAL IMPACT ON LOCAL GOVERNMENTS:
 - 1. <u>Revenues</u>:

None.

2. Expenditures:

None.

C. DIRECT ECONOMIC IMPACT ON PRIVATE SECTOR:

None.

D. FISCAL COMMENTS:

There may be cost savings associated with a complete revision to Chapter 119, F.S., including printing costs. It would be expected that over time, as exemptions are consolidated and their number reduced, costs will be reduced. Further, as it becomes less difficult to find exemptions that are applicable, costs will be reduced.

In addition, with regard to the Records Management Center, the Department of State concludes that the state will realize a cost avoidance of approximately \$86.00 per cubic foot per year. This is inclusive of personnel cost, floor space, filing equipment, and supplies. The Department of State is not able to determine how many cubic feet of records will be affected by the bill; however, it is the department's opinion that the cost avoidance to the state could be significant on an annual basis.

IV. CONSEQUENCES OF ARTICLE VII, SECTION 18 OF THE FLORIDA CONSTITUTION:

A. APPLICABILITY OF THE MANDATES PROVISION:

This bill does not require counties or municipalities to expend funds.

B. REDUCTION OF REVENUE RAISING AUTHORITY:

This bill does not reduce the authority of counties or municipalities to raise revenue.

C. REDUCTION OF STATE TAX SHARED WITH COUNTIES AND MUNICIPALITIES:

This bill does not reduce the percentage of a state tax shared with counties or municipalities.

V. <u>COMMENTS</u>:

A. CONSTITUTIONAL ISSUES:

None.

B. RULE-MAKING AUTHORITY:

None.

C. OTHER COMMENTS:

None

VI. AMENDMENTS OR COMMITTEE SUBSTITUTE CHANGES:

None.

VII. <u>SIGNATURES</u>:

COMMITTEE ON TOURISM:

Prepared by:

Staff Director:

Monique Cheek

Judy C. McDonald