

**FLORIDA HEALTH MAINTENANCE ORGANIZATION  
CONSUMER ASSISTANCE PLAN**

**Board Meeting  
December 11, 2012  
2:00 PM to 2:30 PM  
877-434-2293 passcode 8504251634**

**AGENDA  
(revised 11/30/12)**

**I. Call to Order** **Lisa Davies**

**II. Antitrust Preamble** **Lisa Davies**

We are here to discuss and act on matters relating to the business of the Florida Health Maintenance Organization Consumer Assistance Plan (HMOCAP). We are not here to discuss or pursue the business of our individual member companies. All of us should proceed with caution and awareness of the requirements and prohibitions of federal and state antitrust laws. We should not engage in discussions, either at this meeting or in private conversation, of our individual companies' plans or contemplated activities. We should concern ourselves only with the business of the HMOCAP as set forth in the agenda for this meeting. Only HMOCAP matters may be discussed at the meeting and each company's business plans cannot be discussed.

**III. Review and Approval of Minutes** **Lisa Davies**  
**September 5, 2012 Full Board Meeting (attached)**  
**October 9, 2012 Executive Committee Meeting (attached)**

**III. Review of Investment Policy** **Dave Schandel**  
**(current Investment policy attached)**

**IV. Review Proposed Investments** **Dave Schandel**  
**(draft investment proposal attached)**

**V. Proposed Destruction of Certain Documents** **Lisa Davies**  
**(attached)**

**V. Other Business** **Lisa Davies**

**VI. Adjourn**

**Florida Health Maintenance Organization Consumer Assistance Plan  
Board of Directors Meeting  
Doral Golf Resort & Spa  
Miami, Florida  
Sept. 5, 2012**

Board Members Participating

Lisa Davies, Chairman  
John Hogan, Vice Chairman  
Craig Drablos, Secretary/Treasurer  
Chris Ciano  
David Schandel  
Albert Arca

Others Participating

Stephen Harris, Cigna  
Raed Assar, Aetna  
Mary Schwantes, Florida Department of Financial Services  
Eric Scott, Florida Department of Financial Services  
Chris Struk, Florida Office of Insurance Regulation  
Bruce Platt, Akerman Senterfitt  
Ann Brattain, Akerman Senterfitt  
Sheryl Rosen, Akerman Senterfitt  
LeShan Smith, Akerman Senterfitt

**I. Call to Order**

Chairman Davies noted the presence of a quorum and called the meeting to order at 1:32 p.m.

**II. Antitrust Preamble**

Chairman Davies read the following antitrust preamble and directed the participants to review it:

We are here to discuss and act on matters relating to the business of the Florida Health Maintenance Organization Consumer Assistance Plan ("HMOCAP"). We are not here to discuss or pursue the business of our individual member companies. All of us should proceed with caution and awareness of the requirements and prohibitions of federal and state antitrust laws. We should not engage in discussions, either at this meeting or in private conversation, of our individual companies' plans or contemplated activities. We should concern ourselves only with the business of the HMOCAP as set forth in the agenda for this meeting. Only HMOCAP matters may be discussed at the meeting and each company's business plans cannot be discussed.

### **III. Approval of Minutes, Jan. 5, 2012 Board Meeting**

Chairperson Davies asked if the Board had any suggested revisions to the minutes of the Jan. 5, 2012 Board meeting. There being none, Mr. Hogan moved to approve the minutes. Mr. Schandel seconded the motion, which passed unanimously.

### **IV. Recommendation of New Board Members to Department of Financial Services for Appointment**

Plan Manager Bruce Platt informed the Board that two vacancies currently exist. Member HMOs have nominated Dr. Raed Assar of Aetna and Stephen Harris of Cigna to fill the vacancies. Mr. Platt submitted their names and biographies to the Department of Financial Services. The Department approved Dr. Assar and Mr. Harris to go before the HMOCAP Board for recommendation. If the Board approves them, then Mr. Platt will inform the Department, which will formally appoint the recommended candidates.

Secretary/Treasurer Drablos moved to recommend Dr. Assar and Mr. Harris for appointment to the Board. Mr. Schandel seconded the motion, which passed unanimously.

### **V. Financial Statements**

Secretary/Treasurer Drablos presented financial statements to the Board for review. The statements are as of June 30, 2012, so they do not reflect funds received subsequently. Mr. Drablos directed the Board's attention to the balance sheet included in the meeting materials. The balance sheet shows that the investment income is funding the HMOCAP's expenses for the year.

### **VI. Independent Auditor Report**

Secretary/Treasurer Drablos presented the most recent independent auditor's report regarding the HMOCAP's financial position as of December 31, 2011 and 2010. The audit found all financial documents reviewed conformed with accepted accounting principles. Mr. Drablos noted that the balance sheet identifies an accrued liability of approximately \$2.3 million. He explained that this liability was a result of an overpayment by the Department of Financial Services related to an insolvency, and he said that the notes to the financial statements (Note 3) explained that the funds were subsequently transferred back to the Department.

### **VII. Budget and Proposed Budget**

Secretary/Treasurer Drablos presented the current budget and 2013 proposed budget to the Board. He noted that there is nothing unusual in the proposed budget, and that it essentially is unchanged from the current year's budget. He said that the HMOCAP is currently under budget for 2012. The 2013 proposed budget is \$73,456.

Chairman Davies moved to approve the proposed 2013 budget without changes. Mr. Ciano seconded the motion, which passed unanimously.

### **VIII. Investment Report**

Secretary/Treasurer Drablos next presented an investment report as of July 31, 2012. He explained that approximately half of the HMOCAP's assets are in the State of Florida Treasurer's Special Purpose Investment Account. The remainder is held in certificates of deposit and money market funds. All investments comply with the HMOCAP's investment guidelines.

### **IX. Investment Strategy Report**

Secretary/Treasurer asked Plan Manager Bruce Platt to discuss the proposal to revise the investment strategy. Mr. Platt reminded the Board that the HMOCAP received an additional approximately \$1.2 million distribution from the Ultramedix and Champion insolvencies. He said that he explored opportunities to increase the rate of return for these funds, and that he obtained a proposal from Wells Fargo for investing the funds in longer-term certificates of deposit to maximize the rate of return, while retaining maximum protection. To purchase such CDs, however, the Board would have to amend the investment guidelines in Section 1.10 of the HMOCAP Policies & Procedures Manual, which currently only allows the use of short-term CDs. Mr. Platt and LeShan Smith stated that the \$1.2 million is approximately 14 percent of the HMOCAP's total assets, and investing it in longer-term CDs would generate an additional \$42,000 during a 60-month period in which maturity of the CDs would be staggered from 2-5 years. The HMOCAP's existing short-term CDs would remain the same.

Mr. Harris asked what penalty the HMOCAP would incur in case it needed to access the money in CDs prior to maturity. Ms. Smith answered that the Wells Fargo financial advisor recommended against investing in longer-term brokerage CDs if the Board thinks it will need to access the funds earlier, as doing so could require the HMOCAP to have to repay more interest than such CDs have earned.

Mr. Arca asked whether the CDs in the investment proposal are all with Wells Fargo, and whether there was a mechanism to ensure that all of the CDs would be placed with high-quality financial institutions. Mr. Platt and Ms. Smith responded that all of the CDs would be administered by Wells Fargo, but the CDs themselves are all with different banks in order to keep the HMOCAP's investments under the FDIC insured limit of \$250,000. To help ensure solvency of such banks, Mr. Arca recommended that the Board, or the Board's investment committee, consider some sort of vetting process before purchasing CDs from a given bank.

Chairperson Davies suggested allowing the HMOCAP investment committee to meet and make a recommendation to the board regarding which particular CDs are preferable. Secretary/Treasurer Drablos moved to authorize Mr. Platt to bring a proposal of longer-term CDs to the investment committee for review. Mr. Arca seconded the motion, which passed unanimously.

## **X. Selection of HMOCAP Auditor**

Secretary/Treasurer Drablos recommended that the Board re-engage the current auditor, Chris Moran, for a 2012 audit at the current rate. Mr. Platt said that the HMOCAP's policies allow it to retain Mr. Moran for another year. Members of the Board asked Mr. Platt to determine whether the HMOCAP's policies allow the Plan to hire a different auditor within the same auditing firm. Mr. Platt agreed.

Secretary/Treasurer Drablos moved to hire Mr. Moran again for the 2012 audit. Mr. Schandel seconded the motion, which passed unanimously.

## **XI. Plan Manager Report**

Mr. Platt presented to the board a proposed change to the Policy and Procedure Manual reflecting a change in change in the location at which the Plan's electronic back-up files are stored. Mr. Schandel moved to approve the change as presented. Mr. Ciano seconded the motion, which passed unanimously.

Next, Mr. Platt discussed the ongoing difficulty finding a third-party administrator ("TPA") willing to contract with the HMOCAP. While the HMOCAP has the authority to ask a member HMO to serve as the TPA, he and Chairman Davies both prefer to have a TPA on standby that can assist in the event of an insolvency.

Mr. Arca asked Mr. Platt whether the HMOCAP could expand its search to TPAs that are not licensed in Florida. Mr. Platt replied that he believes the HMOCAP is restricted to using a Florida-licensed TPA, but he will check the relevant enabling statutes.

Lastly, Mr. Platt mentioned that Board members are required to sign a conflict of interest statement annually. He said that he will send the required form to Board members, and he asked them to promptly sign and return the forms..

## **XII. Review of Plan Manager**

After the plan manager staff stepped out of the meeting, the Board considered whether to renew the plan manager contract with Akerman Senterfitt. The proposed contract would be the same, except that bookkeeper and accounting fees would be raised from \$75/hour to \$90/hour for services other than "Routine Plan Manager Services", and the plan manager fees would be raised from \$135/hour to \$250/hour for services other than "Routine Plan Manger Services". The Board agreed to renew the contract with the revised rates.

## **XIII. Election of Officers**

Chairman Davies informed the Board of the need to elect HMOCAP officers. The officer positions, chairman, vice chairman, and secretary/treasurer are for two years, and officers can serve consecutive terms. Mr. Schandel nominated Ms. Davies to continue serving as chairman

and Mr. Hogan to continue as vice chairman. The Board approved both nominations unanimously.

Mr. Drablos announced that will not be continuing to serve on the HMOCAP Board, and therefore he will no longer be eligible to be an officer. Chairman Davies asked for nominations for a new secretary/treasurer. Mr. Ciano nominated Mr. Schandel to replace Mr. Drablos as secretary/treasurer. Mr. Hogan seconded the nomination, and the Board approved Mr. Schandel unanimously.

Chairman Davies thanked Mr. Drablos for his excellent service and welcomed Mr. Schandel to his new position. Mr. Schandel stated that he looks forward to serving.

#### **XIV. Office of Insurance Regulation Updates and Issues**

Chris Struk of the Florida Office of Insurance Regulation stated that most of the recent changes affecting HMOs in Florida have not affected commercial HMOs. There are currently 41 licensed HMOs in the state, including 4 licensees added in the last year. Only one of those new licensees, Ultimate Health Plan, is a commercial HMO. During the past year, there have also been 5 acquisitions of health plans, only one of which affected a commercial HMO – Medica Health Plans.

Also, Citrus Health Care is currently winding down; the Public Health Trust of Dade County/JMH has transferred the majority of its members to AvMed; and Total Health Choice, whose commercial members were purchased by Simply Health Plan, has completed runoff. He noted that Quality Health Plan is being liquidated, but that it was a Medicare Advantage-only HMO, and therefore the HMOCAP was not activated as a result of the liquidation.

#### **XV. Department of Financial Services Update and Issues**

Ms. Schwantes informed the Board that the Department of Financial Services has made recent distributions from the Champions and Ultramedix estates. It received a release from the federal government to make distributions from the Sunrise estate. However, the Vantage and Health Plans of America estates are not cleared for distribution. Also, the Department has one SunStar distribution pending, but the HMOCAP will not receive any funds from that.

#### **XVI. Other Business**

Chairperson Davies asked if the Board had other matters to discuss. There was none. The Board welcomed Dr. Assar and Mr. Harris and thanked Mr. Drablos for his service.

#### **XVII. Adjourn**

There being no further business, Mr. Schandel moved to adjourn. Mr. Ciano seconded the motion, and the meeting was adjourned at 2:28 p.m.

DRAFT

**Florida Health Maintenance Organization Consumer Assistance Plan  
Executive Committee Meeting  
October 9, 2012**

Committee Members Participating

Lisa Strunk Davies, Chairperson  
John Hogan, Vice Chairman  
David Schandel, Secretary/Treasurer  
Bruce Platt, Plan Manager

Others Participating

E.W. Stewart, Florida Department of Financial Services  
Eric Scott, Florida Department of Financial Services  
Chris Struk, Florida Office of Insurance Regulation  
LeShan Smith, Akerman Senterfitt

**I. Call to Order**

Chairperson Davies noted the presence of a quorum and called the meeting of the Executive Committee, acting as the Investment Advisory Committee, to order.

**II. Antitrust Preamble**

Ms. Davies noted the following antitrust preamble and directed the participants to review it:

We are here to discuss and act on matters relating to the business of the Florida Health Maintenance Organization Consumer Assistance Plan ("HMOCAP"). We are not here to discuss or pursue the business of our individual member companies. All of us should proceed with caution and awareness of the requirements and prohibitions of federal and state antitrust laws. We should not engage in discussions, either at this meeting or in private conversation, of our individual companies' plans or contemplated activities. We should concern ourselves only with the business of the HMOCAP as set forth in the agenda for this meeting. Only HMOCAP matters may be discussed at the meeting and each company's business plans cannot be discussed.

**III. Review of Investment Policy**

Secretary/Treasurer Schandel reviewed the HMOCAP's current investment guidelines and the current investment policy included in the policy and procedure manual. He noted that the current guidelines and policy are more conservative than insurance company or HMO investment restrictions, and that they restrict the length of time for investments in certificates of deposit to two years. Mr. Schandel reminded the Committee that the HMOCAP has approximately \$1.8 Million in a money market account that needs to be invested, and he said that the HMOCAP should consider expanding the investment policy such that the HMOCAP can invest in longer term certificates.



Mr. Platt noted that the HMOCAP currently has both an approved investment guideline and an approved investment policy. He suggested that while the Committee is reviewing its investments, it should also consider combining the two to avoid confusion in the future.

#### **IV. Review Proposed Investments/Discussion with Financial Advisor Dave Schandel**

Mr. Schandel reviewed the Wells Fargo proposal to expand investing into additional, laddered certificates of deposit with maturity dates from two years to five years. He noted that the current yield of the HMOCAP's certificates of deposit averages an approximately 0.63% return, and that certificates of deposit in the Wells Fargo proposal would yield an average return of approximately 1.8%. He noted that the proposal being reviewed was only representative, and that Wells Fargo said that it would invest in similar companies with similar returns if the HMOCAP decided that it was appropriate. Mr. Platt explained that Wells Fargo said that it would only purchase certificates of deposit from institutions that it believed were of "high quality," and it defined high quality as follows:

1. All CDs are issued by banks with a minimum of \$100 million in assets.
2. They utilize research from IDC Financial Publishing which rates over 16,000 different banks using a proprietary model called CAMEL (Capital adequacy, Asset quality, Margins, Earnings returns and Leverage & Liquidity). IDC calculates and analyzes 24 key financial ratios which are used in a numerical rating system that determines a classification into one of six different rating categories.

Wells Fargo will only recommend banks that fall into the three highest ratings which are Superior, Excellent and Average.

3. They utilize the Texas Ratio which is an early warning indicator developed by RDC Capital in the 1980's. The Texas Ratio is calculated by dividing a bank's non-performing assets and loans delinquent more than 90 days and divides it by the bank's tangible capital equity plus its loan loss reserve funds. All banks recommended by Wells Fargo must have a Texas ratio of 40% or less.

Mr. Platt also noted that the investments in each institution will be less than the FDIC limits. The Committee members discussed that the \$1.8 Million dollars is approximately 14% of HMOCAP assets, and they believed that there should be a limit on the percentage of HMOCAP funds that would be invested in longer term certificates, but that limit should at least allow investments of this amount.

Mr. Hogan moved to recommend to the full board to amend the HMOCAP policy and procedure manual to incorporate the investment guidelines into the current investment policy, and to further amend the investment policy to allow up to 20% of the HMOCAP's assets to be invested in certificates of deposits with maturity dates from two years to five years. Mr. Platt seconded the motion. During discussion, the Office of Insurance Regulation and Department of Financial

Services representatives were asked if their respective agencies would be comfortable with the amendment. Both sets of representatives said that they believed the amendment would be acceptable. The motion was called to a vote, and it passed unanimously.

Mr. Platt said that he would circulate a draft of the revised policy for review by the Committee members. If they agree to the proposed revisions, he said that he would bring the proposed revision to the full HMOCAP Board of Directors to determine whether it is acceptable to the Board. If so, the HMOCAP would present it for approval to the Office of Insurance Regulation.

**V. Adjourn**

Ms. Davies asked if the Board had other matters to discuss. There being no further business, the meeting was adjourned.

\_\_\_\_\_  
David C. Shandel, Secretary/Treasurer  
Florida HMO Consumer Assistance Plan

Date this \_\_\_\_\_ day of \_\_\_\_\_, 2012.

DRAFT

FLORIDA HEALTH MAINTENANCE ORGANIZATION  
CONSUMER ASSISTANCE PLAN

INVESTMENT GUIDELINES

Investments of the Florida Health Maintenance Organization Consumer Assistance Plan (FHMOCAP) shall be limited to low risk, high liquidity instruments.

The investment option of first choice shall be the State of Florida's Treasurer's Special Purpose Investment Account as created in Section 17.61(1), Florida Statutes.

As an alternative, the FHMOCAP may invest in other instruments with a rating of A1P1 or its equivalent. These instruments may include, but are not limited to:

1. **Agency discount notes** – notes issued by various agencies such as the Federal Home Loan Bank (FHLB), Federal National Mortgage Association (FNMA), Federal Home Loan Mortgage Corporation (FHLMC) and Federal Farm Credit Bank (FFCB). These instruments are purchased at a discount and mature at par. They can have a maximum maturity of one year.
2. **Bankers Acceptances** – drafts drawn and accepted by banks that are based upon funds that will pay its face value at maturity. These instruments are issued at a discount and mature at par.
3. **Certificates of Deposits** – debt instruments issued by banks that pay interest periodically or at maturity and principal at maturity. Maturities can range from a few months to a few years.
4. **Agency Notes** (both callable and non-callable) – notes are issued by all the same agencies that issue discount notes. Notes pay interest semi-annually based on the maturity date. These notes range in maturity from one year to twenty years.
5. **Mortgage-Backed** products – issued by FNMA, FHLMC and GNMA. These instruments pay principal and interest monthly and can have maturities ranging from one year to thirty years.

If these alternative investments are utilized, the investment strategy of the FHMOCAP shall be a "laddered approach" to investing which spreads the available funds across various maturities and monitors the general financial conditions of the HMO industry when making investment decisions. However, in no circumstances shall maturities exceed two years.

The Plan Manager is authorized to take advantage of investment opportunities, which fall within these guidelines. Investments shall be reported to the Investment Committee as they occur.

*OFFICE OF INSURANCE REGULATION APPROVED JULY 20, 2006*







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## Memorandum

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From: Bruce D. Platt  
 Sheryl D. Rosen

To: HMOCAP Board of Directors

Date: November 30, 2012

Subject: Destruction of HMOCAP Records

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The Florida Health Maintenance Consumer Assistance Plan ("HMOCAP") has approximately 70 boxes of records in storage dating back to the early 1990s. Maintenance of these records costs approximately \$100 a month in storage fees. However, pursuant to the HMOCAP's Policy and Procedure Manual, many of these documents are obsolete and may be destroyed.

Policies 2.18 and 2.19 govern record retention and destruction. (See attached.) They provide that records shall be destroyed after retention periods set forth in appendix C to the Manual, but the policies also require Board approval before any records may be destroyed. We propose to seek such approval during the December 11 Board meeting.

The retention periods in appendix C that are most relevant to the HMOCAP include::

Annual reports	Permanent
Audits	10 fiscal years
Bank statements	5 fiscal years
Budget records	Permanent
Charters/amendments/bylaws/constitutions	Permanent
Committee/board appointment records	3 fiscal years after term of office
Contracts/leases/agreements	5 years after end of contract
Correspondence and memoranda (administrative)	3 fiscal years
Federal income tax records	4 years
Financial history summary records (general ledgers)	Permanent
Investment records	10 fiscal years

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 NEW YORK ORLANDO PALM BEACH SALT LAKE CITY TALLAHASSEE TAMPA TYSONS CORNER WASHINGTON, D.C.  
 WEST PALM BEACH

{25489693;1}

Minutes	Permanent
Receipt/revenue records	5 fiscal years
Records destruction schedules	Permanent

In accordance with the Manual, we have inventoried the boxes and now recommend destruction of a majority of the documents. Please see the attached inventory detailing what the boxes contain and whether we recommend retention, destruction in full, or destruction in part. Also, as noted in the inventory, a few of the boxes require additional review on our part. We are in the process of taking a closer look at those, but in the meantime, we believe the Board could approve destruction of items in those boxes to the extent they conform with other items approved for destruction.

We are happy to answer any questions the Board might have or provide additional detail if needed.



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**Number: 2.18**  
**Subject: Record Destruction**

<b>Category:</b> Records Policies	<b>Original Date:</b> Jan. 5, 2012
<b>Approval:</b> Board of Directors	<b>Revision Date:</b>
<b>Responsible Party:</b> Plan Manager	<b>Distribution:</b>

**Purpose:**

To ensure proper destruction of HMOCAP records and documentation of such destruction.

**Procedure:**

After the appropriate time period has expired, the HMOCAP shall destroy sensitive documents to ensure confidentiality. These include, but are not limited to, the following documents:

1. Personnel records;
2. Insolvency information;
3. Insolvent HMO member information;
4. Litigation records;
5. Bank statements;
6. Budgets;
7. Canceled checks;
8. Contracts; and
9. Claims.

Records shall be destroyed only after the retention period for the record to be retained, as outlined in Appendix C, has passed. The Records Management Liaison Officer ("RMLO"), as described in section 2.19, shall not destroy any records without the prior documented approval of the Board of Directors.

The destruction of records shall be in accordance with Florida law, including any guidelines adopted by the Division of Library and Information Services of the Department of State pursuant to Section 119.021(2)(a), Florida Statutes (2011), and that are in effect at the time of the destruction of the records. The RMLO is authorized to complete or submit any forms deemed necessary in conjunction with the destruction of the records. The RMLO shall ensure that the documentation of any record destruction is maintained as a permanent record of the HMOCAP.





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Number: 2.19  
Subject: Record Retention

<b>Category:</b> Records Policies	<b>Original Date:</b> Jan. 5, 2012
<b>Approval:</b> Board of Directors	<b>Revision Date:</b>
<b>Responsible Party:</b> Plan Manager	<b>Distribution:</b>

**Purpose:**

To comply with Section 631.820(3)(d), Florida Statutes (2011) and HMOCAP Plan of Operation Article IX, Section 1(vii) and Article XIII, Section 1.

**Procedure:**

A. POLICY. The HMOCAP has established procedures for keeping records of all financial transactions of the HMOCAP, its agents, and its Board of Directors. Additionally, the HMOCAP frequently receives and creates public records, as defined by Florida law. As a result, the HMOCAP has determined that a comprehensive record retention policy would be beneficial to ensure the efficient and economic handling of public records.

Accordingly, the HMOCAP has established a general record retention policy pursuant to its Plan of Operation, as approved by the Florida Office of Insurance Regulation. This record retention policy is based on Florida's Records Management Program, which is created pursuant to Chapter 257, Florida Statutes and is part of the Division of Library and Information Services of the Department of State ("Division"). The HMOCAP does not believe that it falls within the provisions of Section 257.36, Florida Statutes, but it has determined that adoption of the Records Management Program applicable to state agencies will foster transparency and help ensure compliance with Florida's public records laws, including Section 119.021(2), Florida Statutes (2010). The applicable provisions of the Division's Records Management Program are incorporated by reference herein.

B. RECORDS MANAGEMENT LIAISON OFFICER. The Plan Manager, or some other person as may be appointed by the Board of Directors, shall serve as the HMOCAP's Records Management Liaison Officer ("RMLO").

The retention periods are set forth in the Appendix to this Policy and Procedure Manual. These retention periods may be revised from time to time by the Division, and the RMLO



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**Number: 2.19**

**Subject: Record Retention**

is authorized to update the Appendix to ensure consistency with the Division's published retention periods.

In the event the Appendix does not contain a retention period for a specific record sought to be destroyed, or if deemed necessary by the RMLO or the Board of Directors, the RMLO is authorized to adopt the Division's published record retention schedule or seek assistance from the Division.

C. DUTIES OF RMLO. The RMLO is authorized to complete and submit all necessary forms to the Division, including the RMLO designation form and any annual forms. The RMLO shall administer the HMOCAP's record retention policy and has the authority, subject to oversight or approval as the Board of Directors deems necessary, to take all actions necessary to implement, maintain, or amend the record retention policy. Such authority shall include without limitation:

1. Inventorying records;
2. Establishing new record retention schedules pursuant to the Division's guidelines;
3. Training and advising the HMOCAP in records management practices;
4. Participating in decision-making for issues such as microfilming, digital imaging, storage, and disposal;
5. Responding to public questions regarding the HMOCAP's records and records management practices; and
6. Reporting annually (if necessary or deemed advisable) to the Department of Financial Services, Division of Rehabilitation and Liquidation regarding the HMOCAP's compliance with records management statutes and rules.

# FLHMOCAP

## APPENDIX C

### RECORD RETENTION PERIODS

NOTE: The Retention Period applies to the Record Copy (i.e., the original document). Unless otherwise specified, duplicates of the following records are not required to be retained for the same period of time as the Record Copy; instead, duplicates shall be retained until obsolete, superseded, or administrative value is lost. For purposes of this Policy and Procedure Manual only, "agency" shall refer to the FHMOCAP, and any reference to the director of an agency shall be construed to mean the Board of Directors or its duly-authorized agent, including without limitation the Plan Manager.

DESCRIPTION	RETENTION PERIOD
<p><b>ADMINISTRATIVE CONVENIENCE RECORDS</b></p> <p>This record series consists of DUPLICATES of correspondence, reports, publications, memoranda, etc., maintained for the convenience of officials and employees in carrying out their duties. The material filed in this series is NOT the official file or Do NOT use this item if records fall under a more appropriate retention schedule item.</p>	<p>Retain until obsolete, superseded, or administrative value is lost.</p>
<p><b>ADMINISTRATIVE SUPPORT RECORDS</b></p> <p>This record series consists of records relating to internal administrative activities rather than the functions for which the office exists. These records document day-to-day office management and do not serve as official documentation of office programs. Examples are an individual's daily activity tracking log used to compile periodic activity reports; sign-up sheets for staff use of office equipment or facilities (e.g., reserving a meeting room); and records documenting operating and use of an internal staff library. Do NOT use this item if records fall under a more appropriate retention schedule item or if the unique content/requirements of the records necessitate that an individual retention schedule be established. For instance, use Budget Records: Supporting Documents for budget work papers; use Purchasing Records for records relating to purchase of office supplies; etc.</p>	<p>Retain until obsolete, superseded, or administrative value is lost.</p>
<p><b>ADMINISTRATOR RECORDS: AGENCY DIRECTOR/PROGRAM MANAGER</b></p> <p>This record series consists of records documenting the substantive actions of elected or appointed program managers or agency directors. These records constitute the official record of an agency's performance of its functions and formulation of policy and program initiatives. This series may include various types of records such as correspondence; memoranda; statements prepared for delivery at meetings, conventions, or other public functions that are designed to advertise and promote departmental programs, activities, and policies; interviews; and reports concerning agency program development and implementation. These records may have archival value.</p>	<p>10 anniversary years; State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>ADVERTISEMENTS: LEGAL</b></p>	<p>5 fiscal years provided</p>

# FLHMOCAP

<p>This record series consists of advertisements which have appeared in newspapers or in the "Administrative Weekly" regarding matters pertaining to the agency and other legal advertisements which may directly or indirectly affect the agency, e.g., bid invitations for construction jobs, public hearings or notices, and public sales. A legal advertisement is frequently filed with the item to which it applies.</p>	<p>applicable audits have been released.</p>
<p><b>ANNUAL REPORTS: GOVERNING BODY</b></p> <p>This record series consists of the annual program, narrative, and statistical report issued by the highest level of authority within an agency. It is a comprehensive compilation of all annual reports submitted by departments, divisions, bureaus, program offices, and other subdivisions including boards, commissions, and dependent special districts. This is NOT the annual financial report required under Section 218.32, Florida Statutes, nor is it the annual financial audit report required under Section 218.39, Florida Statutes, and Chapters 10.550, 10.800, and 10.850 of the Rules of the Auditor General of the State of Florida. These records may have archival value.</p>	<p>Permanent. State agencies should contact the State Archives of Florida for archival review after 5 years. Other agencies should ensure appropriate preservation of records.</p>
<p><b>AUDIT TRAILS: CRITICAL INFORMATION SYSTEMS</b></p> <p>This record series consists of system-generated audit trails tracking events relating to records in critical information systems including, but not limited to, systems containing patient records, law enforcement records, public health and safety records, clinical trial records, voter and election records, and financial transaction records. Audit trails link to specific records in a system and track such information as the user, date and time of event, and type of event (data added, modified, deleted, etc.). Since audit trails may play an integral part in prosecution, disciplinary actions, or audits or other reviews, agencies are responsible for ensuring that internal management policies are in place for retaining audit trails as long as necessary for these purposes.</p>	<p>Retain each audit trail entry as long as the record the entry relates to, provided applicable audits have been released.</p>
<p><b>AUDIT TRAILS: ROUTINE ADMINISTRATIVE INFORMATION SYSTEMS</b></p> <p>This record series consists of system-generated audit trails tracking events relating to records in information systems used for routine agency administrative activities. Audit trails link to specific records in a system and track such information as the user, date and time of event, and type of event (data added, modified, deleted, etc.). Since audit trails may play an integral part in prosecution, disciplinary actions, or audits or other reviews, agencies are responsible for ensuring that internal management policies are in place for retaining audit trails as long as necessary for these purposes.</p>	<p>Retain until obsolete, superseded, or administrative value is lost, provided applicable audits have been released.</p>
<p><b>AUDITS: AUDITOR GENERAL</b></p> <p>This record series consists of an annual report issued by the Auditor General to establish the position of the agency being audited against its standard of performance. These records are created pursuant to s. 11.45, Fla. Stat. These records may have archival value.</p>	<p>10 fiscal years. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of</p>

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	records determined to have long-term historical value.
<p><b>AUDITS: INDEPENDENT</b></p> <p>This record series consists of a report, including any appropriate financial statements, issued by an independent auditor to establish the position of the agency being audited against its standard of performance. The audits may be instigated by any agency, organization, or internal management. These records are created pursuant to s. 11.45, Fla. Stat., Definitions; duties; authorities; reports; rules (Auditor General), and/or s. 215.97, Fla. Stat., Florida Single Audit Act.</p>	10 fiscal years.
<p><b>AUDITS: INTERNAL</b></p> <p>This record series consists of a report issued by an internal auditor to establish the position of the agency being audited against its standard of performance. The audits may be instigated by any agency, organization, or internal management. Records of internal audits for state agencies are created pursuant to s. 11.45 and/or s. 20.055, Fla. Stat.</p>	5 fiscal years provided applicable audits have been released.
<p><b>AUDITS: STATE/FEDERAL</b></p> <p>This record series consists of a report issued by a federal or state auditor to establish the position of the agency being audited against its standard of performance. The audits may be instigated by any agency, organization, or internal management. Records of such audits for state agencies are created pursuant to s. 11.45(3), Fla. Stat. These records may have archival value.</p>	10 fiscal years. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.
<p><b>AUDITS: SUPPORTING DOCUMENTS</b></p> <p>This record series consists of the documentation and supporting documents used to develop the audit report with all bills, accounts, records, and transactions. The audit may be instigated by any agency, organization, or internal management.</p>	3 fiscal years provided applicable audits have been released and resolved.
<p><b>AUTOMATED ACCOUNTING SYSTEM REPORTS</b></p> <p>This record series consists of reports generated by an agency's automated accounting system, such as SAMAS (State Automated Management Accounting System), FLAIR (Florida Accounting &amp; Information Resource), Aspire, or other automated accounting system. Included are such reports as a log of all updated transactions entered into the system and a financial statement for each month for all divisions and/or bureaus of the agency.</p>	3 fiscal years provided applicable audits have been released.
<p><b>BACKUP TAPES</b></p> <p>There is no retention schedule for backup tapes or other forms of data backup. A backup tape or drive should be just that: a data/records backup kept solely as a security precaution but not intended to serve as the record copy or as a records retention tool. In the case of disaster, the backup would be used to restore lost records; otherwise, agency records that have not met their retention should not be disposed of on the</p>	

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<p>basis of the existence of a backup. If for any reason (for instance, a disaster erases e-mails on your server) the only existing copy of an item that has not met its retention period is on a backup tape or drive, the custodial agency of that record must ensure that the record on the backup is maintained for the appropriate retention period. A backup containing record copies/only existing copies of items that have not passed their retention would have to be retained for the length of the longest unmet retention period. Preferably, the records should be restored to the agency from the backup to ensure that the backup is not used as a records retention tool.</p>	
<p><b>BANK STATEMENTS: RECONCILIATION</b></p> <p>This record series consists of monthly statements of bank accounts and reconciliations to show debits, credits, and cash balance in the account.</p>	<p>5 fiscal years provided applicable audits have been released.</p>
<p><b>BID RECORDS: NON-CAPITAL IMPROVEMENT</b></p> <p>This record series consists of information relative to the processing and letting of successful and unsuccessful non-capital improvement bids including, but not limited to, legal advertisements, "Requests for Proposals," "Requests for Qualifications," "Letters of Interest," "Invitations to Bid," "Invitations to Negotiate," technical specifications, correspondence, bid tabulations, and bid responses.</p>	<p>5 fiscal years after awarded provided applicable audits have been released.</p>
<p><b>BUDGET RECORDS: APPROVED ANNUAL BUDGET</b></p> <p>This record series consists of the agency's approved annual budget and its amendments which are filed chronologically. This series does NOT include working papers, agency staff analyses, drafts, budget requests, or other supporting documentation relating to the development, modification, or implementation of an agency's final approved budget. These records may have archival value.</p>	<p>Permanent. State agencies should contact the State Archives of Florida for archival review after 5 years. Other agencies should ensure appropriate preservation of records.</p>
<p><b>BUDGET RECORDS: SUPPORTING DOCUMENTS</b></p> <p>This record series consists of any documentation supporting budget matters, including but not limited to working papers, agency staff analyses, drafts, budget requests, or other supporting documentation relating to the development, modification, or implementation of an agency's final approved budget.</p>	<p>3 fiscal years provided applicable audits have been released.</p>
<p><b>CALENDARS</b></p> <p>This record series consists of calendars, appointment books, planners, or other records showing official daily appointments and meetings. The series might also include lists of "prioritized daily tasks," background materials, issues for discussion, and speaking points or remarks. This series does NOT include the record copy of speeches, which are covered by "PUBLIC INFORMATION FILES"</p>	<p>1 anniversary year.</p>
<p><b>CHARTERS/AMENDMENTS/BYLAWS/CONSTITUTIONS</b></p> <p>This record series consists of foundation documents establishing an organization and its mission, functions, duties and responsibilities, and organizational structure. These records may have archival value.</p>	<p>Permanent.</p>

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<p><b>COMMITTEE/BOARD APPOINTMENT RECORDS</b></p> <p>This record series consists of records relating to the appointment of individuals to serve on committees, boards, advisory councils, etc. The series may include, but is not limited to, applications, letters of recommendation, letters of appointment, letters of acceptance, oaths of office, resignation letters, and related correspondence and supporting documentation.</p>	<p>3 fiscal years after term of office or committee/board is abolished.</p>
<p><b>COMMITTEE/BOARD APPOINTMENT RECORDS: NON-SELECTED APPLICANTS</b></p> <p>This record series consists of records relating to applicants not selected to serve on committees, boards, advisory councils, etc. The series may include, but is not limited to, applications, letters of recommendation, and related correspondence and supporting documentation.</p>	<p>4 anniversary years after personnel action and any litigation is resolved.</p>
<p><b>COMPLAINTS: CITIZENS/CONSUMERS/EMPLOYEES</b></p> <p>This record series consists of individual complaints received from citizens, consumers, or employees. The records provide name, address, and telephone number of complainant, date of complaint, nature of complaint, to whom referred and date, action taken, and signature of person taking the action. This series does not include records documenting employee claims of harassment or discrimination.</p>	<p>1 anniversary year after resolved provided applicable audits have been released.</p>
<p><b>COMPUTER LOGS</b></p> <p>This record series consists of firewall logs, system logs, network logs, or other logs used to maintain the integrity and security of the agency's computer systems. The logs may record such information as source and destination Internet Protocol (IP) addresses; user identification information; files, directories, and data that have been accessed; user rights; and running applications and databases. Since these logs may play an integral part in prosecution or disciplinary actions, agencies are responsible for ensuring that internal management policies are in place establishing criteria for which logs or entries should be retained for further investigation.</p>	<p>30 days or until review of logs is complete, whichever occurs first.</p>
<p><b>CONTRACTS/LEASES/AGREEMENTS: NON-CAPITAL IMPROVEMENT</b></p> <p>This record series consists of legal documents, correspondence, reports, etc., relating to the negotiation, fulfillment, and termination of non-capital improvement contracts, leases, or agreements to which the agency is a party. In addition, it includes the various contracts, leases, or agreements entered into for the purchase of goods and services such as the purchase of gas, fuel oil, and annual purchases of inventory-maintained items.</p>	<p>5 fiscal years after completion or termination of contract/lease/agreement provided applicable audits have been released.</p>
<p><b>COPYRIGHT RELEASE/AUTHORIZATION DOCUMENTATION</b></p> <p>This record series consists of releases or other documentation authorizing the agency to publish copyrighted materials, including</p>	<p>Permanent.</p>

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<p>publication on the Internet. The series includes release/authorization forms, correspondence, and related documentation.</p>	
<p><b>CORRESPONDENCE AND MEMORANDA: ADMINISTRATIVE</b></p> <p>This record series consists of routine correspondence and memoranda of a general nature that are associated with administrative practices but that do not create policy or procedure, document the business of a particular program, or act as a receipt. These records may have archival value.</p>	<p>3 fiscal years. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>CORRESPONDENCE AND MEMORANDA: PROGRAM AND POLICY DEVELOPMENT</b></p> <p>This record series consists of correspondence and memoranda documenting policy development, decision-making, or substantive programmatic issues, procedures, or activities. These records may have archival value.</p>	<p>5 fiscal years provided applicable audits have been released. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>DIRECTIVES/POLICIES/PROCEDURES</b></p> <p>This record series consists of the official management statements of policy for the organization, supporting documents, and the operating procedures which outline the methods for accomplishing the functions and activities assigned to the agency. The series may include, but is not limited to, such materials as employee handbooks, standard operating procedures, and correspondence and memoranda stating the policies and procedures to be followed by employees. These records may have archival value.</p>	<p>2 anniversary years after superseded or becoming obsolete. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>DISASTER PREPAREDNESS PLANS</b></p> <p>This record series consists of disaster preparedness and/or recovery plans adopted by an agency. Section 252.365, Fla. Stat. requires state agencies to develop and maintain "a disaster preparedness plan that is coordinated with the applicable local emergency-management agency..." Section 252.38, Fla. Stat., authorizes counties and municipalities to "develop an emergency management plan and program that is coordinated and consistent with the state comprehensive emergency management plan and program." These records may have archival value.</p>	<p>5 fiscal years after superseded or becoming obsolete. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>DISBURSEMENT RECORDS: DETAIL</b></p> <p>This series consists of records documenting specific expenditures or transfers of agency moneys for the procurement of commodities and services and other purposes. The series may include, but is not limited to, procurement records such as requisitions, requisition logs, purchase orders, contracts, purchasing card (p-card) receipts, vendor invoices, receiving reports, acceptances of contract deliverables, approvals, and</p>	<p>5 fiscal years provided applicable audits have been released.</p>



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<p>related documentation; and expenditure records for disbursements made through checks, warrants, electronic fund transfers (EFT), purchasing cards, or other methods, such as payment vouchers, approvals, check registers, cancelled checks, check stubs, cancelled warrants, disbursement ledgers, journal transactions, expenditure detail reports, refund records, and other accounts payable and related documentation.</p>	
<p><b>DISBURSEMENT RECORDS: SUMMARY</b></p> <p>This series consists of records providing summary or aggregate documentation of expenditures or transfers of agency moneys for the procurement of commodities and services and other purposes. The series may include, but is not limited to, summary records such as trial balance reports, check logs and registers, summary expenditure reports, federal grant final closeout reports, summary journal transactions, and other accounts payable summary and related documentation.</p>	<p>10 fiscal years provided applicable audits have been released.</p>
<p><b>DRAFTS AND WORKING PAPERS</b></p> <p>This records series consists of materials used in developing, compiling, and assembling a final product such as an agency report or database. The series may include, but is not limited to, copies of correspondence or memoranda; circulated drafts; data entry forms; notes; calculations; and other supporting documents. Drafts of documents that could have a significant effect on an agency's programs, functions, and responsibilities (for instance, agency mission statements or major policy initiatives) should be placed under the record series "ADMINISTRATOR RECORDS: AGENCY DIRECTOR/PROGRAM MANAGER."</p>	<p>Retain until obsolete, superseded, or administrative value is lost.</p>
<p><b>ELECTRONIC FUNDS TRANSFER RECORDS</b></p> <p>This record series consists of the documentation necessary to establish and maintain the electronic transfer of funds. The series may include, but is not limited to: an agreement between the two parties; a form which lists both institutions' names, their routing numbers, the name(s) and authorizing signature(s) of the account holder(s); direct deposit authorizations; canceled deposit slips or checks; and documentation of the termination of service or transfer of service to a new institution. This series does not include records of specific individual deposits or payments.</p>	<p>5 fiscal years after termination of service agreement/authorization.</p>
<p><b>ELECTRONIC MAIL</b></p> <p>There is no single retention period that applies to all of any agency's e-mails. Retention periods are determined by the content, nature, and purpose of records, and are set based on their legal, fiscal, administrative, and historical values, regardless of the format in which they reside. Electronic mail, as with records in other formats, can have a variety of purposes and relate to a variety of program functions and activities. The retention of any particular electronic mail message will generally be the same as the retention for records in any other format that document the same program function or activity. For instance, e-mails might fall under a CORRESPONDENCE series, a BUDGET RECORDS series, or one of numerous other series, depending on the content, nature, and purpose of each e-mail. E-mails that are created primarily to communicate information of short-term value, such as e-mails reminding employees about scheduled meetings or appointments, might fall under the "TRANSITORY MESSAGES" series.</p>	

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<p><b>ELECTRONIC RECORDS SOFTWARE AND DOCUMENTATION</b></p> <p>This record series consists of proprietary and non-proprietary software as well as related documentation that provides information about the content, structure, and technical specifications of computer systems necessary for retrieving information retained in machine-readable format. These records may be necessary for an audit process.</p>	<p>Retain as long as software-dependent records are retained.</p>
<p><b>ENCUMBRANCE/CERTIFICATION FORWARD RECORDS</b></p> <p>This record series consists of reports and other documentation detailing funds that have been encumbered, i.e., set aside, but not yet spent, for a specific planned, approved expenditure. This series includes lists of encumbrances to be applied against certified forward money, i.e., money brought forward from the previous fiscal year for goods and services not received until the current fiscal year.</p>	<p>3 fiscal years provided applicable audits have been released.</p>
<p><b>ENDOWMENTS/BEQUESTS/TRUST FUND RECORDS</b></p> <p>This record series documents the creation of, contributions to, or expenditures from endowments, bequests, and trust funds. These records may have archival value.</p>	<p>Permanent. State agencies should contact the State Archives of Florida for archival review after 5 years. Other agencies should ensure appropriate preservation of records.</p>
<p><b>EQUIPMENT REFERENCE FILES</b></p> <p>This record series consists of equipment specifications, technical manuals, brochures, bulletins, operating instructions, and other records documenting equipment characteristics and operations.</p>	<p>Retain until obsolete, superseded, or administrative value is lost.</p>
<p><b>EQUIPMENT/VEHICLE MAINTENANCE RECORDS</b></p> <p>This record series documents service, maintenance, and repairs to agency equipment and vehicles, including program changes to electronic equipment. The series may include, but is not limited to, work orders and documentation of dates/history of repairs, locations, cost of parts, hours worked, etc. Records for all agency vehicles, including ground, air, and water vehicles, are covered by this series.</p>	<p>1 fiscal year after disposition of equipment.</p>
<p><b>EQUIPMENT/VEHICLE USAGE RECORDS</b></p> <p>This record series documents use of agency equipment and vehicles, including, but not limited to, vehicle logs indicating driver, destination, fuel/service stops, and odometer readings and/or total trip mileage; equipment usage logs and/or reports; and other usage documentation.</p>	<p>1 calendar year.</p>
<p><b>FEASIBILITY STUDY RECORDS</b></p> <p>This record series consists of working papers, correspondence, consulting firm reports, and management committee reports investigating various projects of the governing agency. These files cover potential projects under consideration or those ideas which are studied and discarded by a governmental agency. If the agency decides to continue</p>	<p>3 fiscal years after completion of study provided applicable audits have been released. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other</p>

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<p>with the project, these records should be scheduled under one of the "Project Files" items. These records may have archival value.</p>	<p>agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>FEDERAL INCOME/EMPLOYMENT TAX FORMS/REPORTS</b></p> <p>This record series consists of tax withholding and reporting forms including, but not limited to, W-2, W-4, W-5, W-9, 940, 941-E, 1096, 1099, and 1099-INT. Retention period is pursuant to 26 CFR s. 31.6001-1(e)(2), Place and Period for Keeping Records.</p>	<p>4 years from the tax due date (April 15) of the year to which the record applies, or for W-4s, four years from the last tax due date of the year in which the employee separated from employment or submitted a newer W-4.</p>
<p><b>FEE/SERVICE SCHEDULES</b></p> <p>This record series consists of a price sheet or report identifying the types of goods or services provided by the agency and any associated fees. The series may also include supporting documents used to determine service costs and fees. The price sheet or report may be reviewed and revised as necessary.</p>	<p>3 fiscal years after obsolete or superseded.</p>
<p><b>FINANCIAL ACCOUNT AUTHORIZATION RECORDS</b></p> <p>This record series consists of an authorization to maintain a bank, investment, or other financial account and the names of those authorized to access the account.</p>	<p>5 fiscal years after authorization superseded, expired, or cancelled provided applicable audits have been released.</p>
<p><b>FINANCIAL HISTORY SUMMARY RECORDS</b></p> <p>This record series consists of records providing a periodic summary of an agency's receipts and disbursements over the course of an agency's history. The series may consist of annual summary general ledgers, annual financial reports, or equivalent records in other forms.</p>	<p>Permanent.</p>
<p><b>HIPAA HEALTH CARE COMPONENT DESIGNATION RECORDS</b></p> <p>This record series consists of records of a designation of a health care component of a covered hybrid entity under the Health Insurance Portability and Accountability Act (HIPAA). Under HIPAA, a hybrid entity is a covered entity whose business activities include both covered and non-covered functions (45 CFR s. 164.103). Per 45 CFR s. 164.104 (a)(2)(iii)(C), "The covered entity is responsible for designating the components that are part of one or more health care components of the covered entity and documenting the designation..."</p>	<p>6 anniversary years from date of designation or from the date when it last was in effect, whichever is later.</p>
<p><b>HIPAA SECURITY STANDARDS IMPLEMENTATION RECORDS</b></p> <p>This record series consists of policies, procedures, and records of actions, activities, or assessments relating to the implementation of security measures for protected electronic health information required under the Health Insurance Portability and Accountability Act (HIPAA), Subpart C, Security Standards for the Protection of Electronic Protected Health Information. The records are required HIPAA documentation</p>	<p>6 anniversary years from date of creation or from the date when it last was in effect, whichever is later.</p>

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<p>per 45 CFR s. 164.316(b).</p>	
<p><b>INCIDENT REPORT FILES</b></p> <p>This record series documents incidents or unusual occurrences at a public facility or on publicly owned property, including incident reports and documentation of any follow-up investigation. These incidents or occurrences may include alarm or lock malfunctions, security breaches, hostile actions by employees or the public, suspicious persons, significant maintenance problems, or any other circumstance that should be noted for future reference or follow-up. The incident report may include, but is not limited to, the name of the reporting staff member, the date/time/location of the incident, names of persons involved or witnesses, description of the incident or occurrence, emergency response, names of supervisors notified and at what time, and the general outcome of the incident. This series does not include documentation of injuries requiring medical attention.</p>	<p>4 anniversary years from date of incident.</p>
<p><b>INFORMATION REQUEST RECORDS</b></p> <p>This record series consists of correspondence accumulated in answering inquiries from the public. The series may include requests for: publications or services provided by the agency; inspection and/or copies of public records; confirmation of meeting or event times/dates/locations; information on outstanding liens; and general agency information (e.g., mission statement, telephone list, map/directions, employee directory, etc.).</p>	<p>1 fiscal year provided applicable audits have been released.</p>
<p><b>INSURANCE RECORDS: AGENCY</b></p> <p>This record series documents insurance policies held by an agency for fire, theft, liability, medical, life, etc., on an agency's property and/or employees. The series may include, but is not limited to, policies; claim filing information such as applications, correspondence, and related documentation; documentation of premiums due and amounts paid; and information on insurance carriers and rates.</p>	<p>5 fiscal years after final disposition of claim or expiration of policy provided applicable audits have been released.</p>
<p><b>INVENTORY: AGENCY PROPERTY</b></p> <p>This record series consists of all information regarding the physical inventory of agency property, including a perpetual inventory of expendable parts and supplies which may be located in a central supply office for use by agency employees, as well as Fixed Assets/Operating Capital Outlay (O.C.O.) items requiring an identification number and tag. The series may also include copies of disposition documentation when the property or equipment is relocated, transferred, surplus, sold, scrapped, traded in, abandoned, stolen, cannibalized, or destroyed. Section 274.02, Fla. Stat., requires an annual physical inventory of all O.C.O. property.</p>	<p>3 fiscal years provided applicable audits have been released.</p>
<p><b>INVENTORY: AGENCY RECORDS</b></p> <p>This record series consists of an inventory of agency records providing such information as record series title, inclusive dates, and quantity (e.g.,</p>	<p>Retain until obsolete, superseded, or administrative value is lost.</p>

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<p>in cubic feet); if records are active, inactive, or closed; whether they are vital records; whether they are exempt from public inspection; format of records (paper, electronic, microform, etc.); name of custodial agency and official; records retention requirements; and location, including offices or offsite storage facilities and specific physical locations. This series may include documentation of transmittal of records to an offsite storage facility.</p>	
<p><b>INVESTMENT RECORDS</b></p> <p>This record series consists of records related to the selection and maintenance of a government's investments. The series may include, but is not limited to, selection criteria, score sheets, and correspondence concerning the selection process or potential investments; annual reports of the investments; firm histories; prospectus and other research materials; and initial goals or projected recovery at the time of the initial investment. These records may have archival value.</p>	<p>10 fiscal years provided applicable audits have been released. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>LEGISLATION RECORDS</b></p> <p>This record series documents the development of legislation proposed by and/or potentially impacting an agency. The series may include, but is not limited to, proposed legislation; research materials on the subject of the legislation; agency staff analysis of the potential impact of the legislation; reports and statistical studies; surveys of and/or input from affected industries or populations; and other related records. These records may have archival value.</p>	<p>Retain until obsolete, superseded, or administrative value is lost. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>LITIGATION CASE FILES</b></p> <p>This record series consists of legal documents, notes, reports, background material, etc., created or received in preparing for or engaging in litigation of legal disputes.</p>	<p>5 anniversary years after case closed or appeal process expired provided applicable audits have been released.</p>
<p><b>LOBBYIST REGISTRATION RECORDS</b></p> <p>This record series consists of registration records for lobbyists engaging in lobbying activity with the local government entity. The series may include, but is not limited to, registration forms, lobbying activity, expense reports, and correspondence.</p>	<p>5 fiscal years after expiration or withdrawal of registration or ceasing to lobby, whichever occurs first.</p>
<p><b>MAIL: REGISTERED AND CERTIFIED</b></p> <p>This record series consists of receipts for registered or certified mail sent out by an agency as well as undeliverable registered or certified mail items returned by the post office for any reason. This record is usually filed with the agency's copy of the item mailed.</p>	<p>1 fiscal year.</p>
<p><b>MAIL: UNDELIVERABLE/RETURNED</b></p> <p>This record series consists of outgoing agency mail returned by the post office for any reason, including insufficient postage, incorrect address,</p>	<p>1 anniversary year after returned undeliverable.</p>

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forwarding order expired, etc. It does NOT include returned registered or certified mailings.	
<p><b>MAILING LISTS</b></p> <p>This record series consists of mailing lists used in agency mail outs. Mailing lists that fall under s. 283.55, Fla. Stat., Purging of Publication Mailing Lists, must be updated and superseded every odd-numbered year.</p>	Retain until obsolete, superseded, or administrative value is lost.
<p><b>MEDICARE/MEDICAID RECORDS</b></p> <p>This records series consists of all financial, administrative and program records associated with Medicare and Medicaid claims, reimbursement, and client activities. Sections 409.907 and 409.913 Fla. Stat.</p>	5 fiscal years provided all audit issues have been resolved.
<p><b>MICROGRAPHICS: QUALITY CONTROL RECORDS</b></p> <p>This record series consists of, but is not limited to, test results and microfilm inspection records for all permanent or long-term microfilm as required by Rules 1B-26.0021(3)(f) and 1B-26.0021(3)(j), F.A.C.</p>	Permanent.
<p><b>MINUTES: OFFICIAL MEETINGS</b></p> <p>This record series consists of the official record of official meetings, defined in s. 286.011(1), Fla. Stat. as "All meetings of any board or commission of any state agency or authority or of any agency or authority of any county, municipal corporation, or political subdivision, except as otherwise provided in the Constitution, at which official acts are to be taken..." The series may include verbatim transcripts or minutes summarizing issues addressed, actions taken, and decisions made. The series may also include agendas and background materials used as reference documentation for agenda items. This series does not include documentation of the logistics/planning of the meetings such as venue information or directions, travel itineraries, reservations and confirmations, etc., which are covered by Administrative Support Records. These records may have archival value.</p>	Permanent. State agencies should contact the State Archives of Florida for archival review after 5 years. Other agencies should ensure appropriate preservation of records.
<p><b>MINUTES: OFFICIAL MEETINGS (PRELIMINARY/AUDIO RECORDINGS/VIDEO RECORDINGS)</b></p> <p>This record series consists of handwritten or typed notes and/or audio and/or video recordings of official meetings as defined in s. 286.011(1), Fla. Stat.</p>	2 anniversary years after adoption of the official minutes or certification of transcript.
<p><b>MINUTES: OFFICIAL MEETINGS (SUPPORTING DOCUMENTS)</b></p> <p>This record series consists of supporting documents for minutes and agendas generated by official meetings. These records provide information necessary for completing the minutes but do not document actual meeting proceedings. Records may include, but are not limited to, roll call sheets and sign-in sheets for speakers.</p>	2 anniversary years after adoption of the official minutes or certification of transcript.
<b>MINUTES: OTHER MEETINGS</b>	1 anniversary year after date of

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<p>This record series consists of minutes and all supporting documentation from meetings which are not official meetings as defined in s. 286.011(1), Fla. Stat. These records may have archival value.</p>	<p>meeting. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>NEWS RELEASES</b></p> <p>This record series consists of news releases distributed by the agency and/or received from other offices for informational purposes. These records may have archival value.</p>	<p>90 days. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>OPINIONS: LEGAL</b></p> <p>This record series consists of written legal opinions issued by agency attorneys establishing policy or precedent and answering questions involving legal interpretation of Florida or federal law in relation to the agency's functions, responsibilities, and authority. These records may have archival value.</p>	<p>Permanent. State agencies should contact the State Archives of Florida for archival review after 5 years. Other agencies should ensure appropriate preservation of records.</p>
<p><b>OPINIONS: LEGAL (SUPPORTING DOCUMENTS)</b></p> <p>This record series consists of documentation supporting the legal opinions issued by agency attorneys. These records may have archival value.</p>	<p>3 fiscal years provided applicable audits have been released. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>ORGANIZATION CHARTS</b></p> <p>This record series consists of organizational charts that show lines of authority and responsibility agency-wide, within and between the various departments of the agency. These records may have archival value.</p>	<p>Retain until obsolete, superseded, or administrative value is lost. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>PAYMENT CARD SENSITIVE AUTHENTICATION DATA</b></p> <p>This record series consists of elements of a customer's payment card data</p>	<p>Record Copy: Destroy immediately upon completion of transaction.</p>

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<p>that are used to authenticate a financial transaction using that payment card (e.g., credit card, debit card). Sensitive authentication data includes those elements defined as such by the Payment Card Industry Security Standards Council in their Data Security Standard: Requirements and Security Assessment Procedures (Version 1.2, October 2008 or subsequent edition) and includes full magnetic stripe data (also known as full track, track, track 1, track 2, and magnetic-stripe data); three-digit or four-digit card verification code or value; and personal identification number (PIN) or encrypted PIN block.</p>	<p>Duplicates: Destroy immediately upon completion of transaction.</p>
<p><b>PETTY CASH DOCUMENTATION RECORDS</b></p> <p>This record series consists of records documenting an agency's petty cash account including, but not limited to, receipts, bills, and monthly balances indicating amount needed for replenishing the revolving account.</p>	<p>5 fiscal years provided applicable audits have been released.</p>
<p><b>POSTAGE/SHIPPING RECORDS</b></p> <p>This record series consists of a detailed listing/report showing the amount of postage used, dates used, unused balance, and purpose. Also included in this series are postage meter books, daily balance sheets, and agency copies of shipping slips from Express Mail, United Parcel Service, Federal Express, DHL, or other express shipping services for packages shipped by the agency.</p>	<p>3 fiscal years provided applicable audits have been released.</p>
<p><b>PROCLAMATIONS</b></p> <p>This record series consists of a governing body's proclamations calling attention to issues of current significance or honoring groups, individuals, or past events, such as a proclamation declaring "Water Conservation Month," "Law Enforcement Appreciation Week," or "Emancipation Proclamation Day." The series may also include, but is not limited to, correspondence, memoranda, public input, sample proclamations, drafts, and letters of support. These records may have archival value.</p>	<p>2 calendar years after date of issuance. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>PROJECT FILES: FEDERAL</b></p> <p>This record series consists of original approved federal project contracts, agreements, awards, line-item budgets, budget amendments, cash requests, correspondence, and audit reports. NOTE: Check with applicable agency and/or the Code of Federal Regulations (CFR) for any additional requirements.</p>	<p>5 fiscal years after completion of project provided applicable audits have been released.</p>
<p><b>PROJECT FILES: NON-CAPITAL IMPROVEMENT</b></p> <p>This record series documents projects in progress and/or project proposals which may or may not be sent out for bid. This may include, but is not limited to, correspondence, memoranda, contract specifications, resolutions, narratives, budget revisions, survey information, change orders, and reports.</p>	<p>5 fiscal years after completion of project provided applicable audits have been released.</p>
<p><b>PROJECT FILES: OPERATIONAL</b></p>	<p>3 fiscal years provided</p>



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<p>This record series documents projects conducted by agencies in connection with agency operations, programs, and functions. The records may include, but are not limited to: project schedules, logs, and reports; correspondence relating to the project; names of employees involved in project; equipment/supplies used; project costs; and other related information.</p>	<p>applicable audits have been released.</p>
<p><b>PROPERTY CONTROL RECORDS</b></p> <p>This record series documents all property of a non-consumable nature. The records may provide such information as the class and type, number of units, make, manufacturer, year, model, manufacturer's serial number or other identifying marker attached to the property, the value or cost of the property, date acquired, the location, custodian, date of inventory, condition of property, final detailed disposition of property, and any additional information that may be necessary. The series may include a copy of the property transfer record completed when the property or equipment is relocated, transferred, surplus, sold, scrapped, traded in, abandoned, or stolen.</p>	<p>Retain until completion of the next physical inventory after the equipment leaves service.</p>
<p><b>PROPERTY TRANSFER RECORDS</b></p> <p>This record series documents the transfer of property or equipment that is relocated, transferred to another agency/office, surplus, sold, scrapped, traded in, abandoned, or stolen. This series does not include records documenting real property transfers.</p>	<p>1 fiscal year provided applicable audits and a physical inventory have been released.</p>
<p><b>PROTECTED HEALTH INFORMATION ACCESS PROVIDER RECORDS</b></p> <p>This record series consists of records listing the title(s) of the person(s) or office(s) of the covered entity responsible for receiving and processing requests by individuals for access to protected health information. The records are required HIPAA documentation per 45 CFR s. 164.524(e).</p>	<p>6 anniversary years from date of creation or from the date when it last was in effect, whichever is later.</p>
<p><b>PROTECTED HEALTH INFORMATION AMENDMENT REQUEST PROVIDER RECORDS</b></p> <p>This record series consists of records listing the title(s) of the person(s) or office(s) of the covered entity responsible for receiving and processing requests by individuals for amendment of protected health information. The records are required HIPAA documentation per 45 CFR s. 164.526(f).</p>	<p>6 anniversary years from date of creation or from the date when it last was in effect, whichever is later.</p>
<p><b>PROTECTED HEALTH INFORMATION DISCLOSURE RECORDS</b></p> <p>This record series consists of records documenting the disclosure by a covered entity of protected electronic health information required under the Health Insurance Portability and Accountability Act (HIPAA), Subpart C, Security Standards for the Protection of Electronic Protected Health Information. The records are required HIPAA documentation per 45 CFR s. 164.528(b) and must include for each disclosure: date of disclosure; name of entity or person to whom disclosed, and address if known; brief description of disclosed information; and purpose of the</p>	<p>6 anniversary years from date of disclosure.</p>

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<p>disclosure or copy of the written request for disclosure. This series can also include documentation related to the investigation and resolution of suspected privacy breaches.</p>	
<p><b>PROTECTED HEALTH INFORMATION PRIVACY PRACTICES RECORDS</b></p> <p>This record series consists of a covered entity's policies and procedures for safeguarding the privacy and security of protected electronic health information. The series can also include revisions to policies and procedures and any correspondence relating to the policies or their revision. The records are required HIPAA documentation per 45 CFR s. 164.528(j).</p>	<p>6 anniversary years from date of creation or from the date when it last was in effect, whichever is later.</p>
<p><b>PROTECTED HEALTH INFORMATION PRIVACY PRACTICES VIOLATION RECORDS</b></p> <p>This record series consists of records of all complaints received concerning the covered entity's privacy policies and procedures and compliance thereto, the disposition of any of the complaints, and any sanctions applied by the covered entity against employees failing to comply with the policies and procedures. The records are required HIPAA documentation per 45 CFR ss. 164.530(d) and 164.530(e). This series can also include documentation related to the investigation and resolution of suspected privacy breaches.</p>	<p>6 anniversary years from date of creation or from the date when it last was in effect, whichever is later.</p>
<p><b>PUBLIC INFORMATION FILES</b></p> <p>This record series documents an agency's efforts to disseminate information to the public about its programs and services through such activities as speeches, presentations, exhibits, displays, etc. The series may include, but is not limited to, speeches (including outlines, speaking points, and drafts), photographs or other illustrations used in agency publications or displays, and examples of brochures, handouts, or other items meant for public distribution. NOTE: Stocks of agency publications (e.g., brochures, pamphlets, handbooks, etc.) are not included in this series. These records may have archival value.</p>	<p>90 days. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>PUBLIC PROGRAM/EVENT RECORDS</b></p> <p>This record series consists of files documenting agency-provided or sponsored events or programs available to the public or segments of the public. The files may include, but are not limited to, copies of contracts or agreements, participant or performer information, program details and arrangements, photographs, and audio and/or video recordings. These records relate both to events staged by the agency and to events staged by a contractor or vendor on behalf of the agency.</p>	<p>5 fiscal years after completion of contract or program/event, whichever is later, provided applicable audits have been released.</p>
<p><b>PUBLICATION PRODUCTION RECORDS</b></p> <p>This record series consists of records used to generate publications such as catalogs, pamphlets, leaflets, and other media items. The series may include, but is not limited to, rough, blue lined, camera-ready, and final copies, as well as illustrations (e.g., cropped photographs).</p>	<p>Retain until receipt of final, published copy.</p>

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<p><b>PUBLIC RECORDS EXEMPT STATUS NOTIFICATIONS AND REDACTION REQUESTS</b></p> <p>This record series consists of written requests from individuals to agencies notifying them of personal information in public records that is exempt from public disclosure. The series may include, but is not limited to, notifications that an individual has exempt status under Sections 119.071 (general exemptions), 493.6122 (private investigative, private security, and repossession services), and 741.465 (domestic violence victims), Florida Statutes, and other applicable sections.</p>	<p>Retain until disposition of record(s) to which notification or request relates or until request is withdrawn or exemption no longer applies, whichever is sooner.</p>
<p><b>PURCHASING RECORDS</b></p> <p>This record series consists of copies of purchase orders which are retained by the originating office while another is sent to the Purchasing/Business Office and the appropriate vendor for action. The series may include, but is not limited to, copies of requisitions sent by the originating office to supply, purchasing, graphics, duplicating, or other sections for action; copies of receiving reports; and a log of outstanding and paid requisitions and purchase orders used for cross-referencing purposes.</p>	<p>5 fiscal years provided applicable audits have been released.</p>
<p><b>RECEIPT/REVENUE RECORDS: DETAIL</b></p> <p>This series consists of records documenting specific receipts/revenues collected by an agency through cash, checks, electronic fund transfers (EFT), credit and debit cards, or other methods. The series may include, but is not limited to, records such as cash collection records and reports, cash receipt books, cash register tapes, deposit/transfer slips, EFT notices, credit and debit card records, receipt ledgers, receipt journal transactions and vouchers, refund records, bad check records, and other accounts receivable and related documentation.</p>	<p>5 fiscal years provided applicable audits have been released.</p>
<p><b>RECEIPT/REVENUE RECORDS: SUMMARY</b></p> <p>This series consists of records providing summary or aggregate documentation of receipts/revenues collected by an agency. The series may include, but is not limited to, records such as trial balance reports, bank statements, credit and debit card reports, revenue reconciliations, collection balance sheets, and other accounts receivable summary and related documentation.</p>	<p>10 fiscal years provided applicable audits have been released.</p>
<p><b>RECORDS DISPOSITION DOCUMENTATION</b></p> <p>This record series documents each disposition of public records by an agency. Agencies are required to maintain internal documentation of records dispositions pursuant to Rule 1B-24.003(9)(d), F.A.C., which states in part that "For each record series being disposed of, agencies shall identify and document the following: 1. Records retention schedule number; 2. Item number; 3. Record series title; 4. Inclusive dates of the records; 5. Volume in cubic feet for paper records; for electronic records, record the number of bytes and/or records and/or files if known, or indicate that the disposed records were in electronic form; and 6.</p>	<p>Permanent.</p>

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Disposition action (manner of disposition) and date." Disposition may include either destruction of records or transfer of legal custodianship of the records to another agency.	
<p><b>RECORDS MANAGEMENT COMPLIANCE STATEMENTS</b></p> <p>This record series consists of the agency's copy of records management compliance statements submitted annually to the Department of State, Records Management Program. The statements indicate the agency's compliance or non-compliance with Florida's public records management statutes and Florida Administrative Code rules, including documentation of the quantity of records dispositions and the agency's designated Records Management Liaison Officer. Compliance reporting is required pursuant to Rule 1B24.003(11), F.A.C., which requires that "Each agency shall submit to the Division, once a year, a signed statement attesting to the agency's compliance with records disposition laws, rules, and procedures."</p>	1 fiscal year.
<p><b>RECORDS RETENTION SCHEDULES: AGENCY SPECIFIC</b></p> <p>This record series consists of copies of records retention schedules approved by the Department of State, Records Management Program for records that are specific to an individual agency's programs and activities and are not covered by a general records retention schedule. Agency-specific retention schedules are established pursuant to Rule 1B24.003(1)-(8), F.A.C., s. 119.021(2)(a), Fla. Stat., and s. 257.36(6), Fla. Stat.</p>	Permanent.
<p><b>RECORDS RETRIEVAL/REFERENCE RECORDS</b></p> <p>This record series documents the retrieval and refile of records stored in a records management or archival facility. The series may include, but is not limited to, reference and records retrieval and refile requests/work orders and pull slips and/or "out cards." The records may indicate name of requesting party; specific records retrieved; date of retrieval and/or delivery to requesting party; by whom retrieved/delivered; date records returned/refiled and by whom; and any additional information, such as if anything was missing.</p>	Retain until obsolete, superseded, or administrative value is lost.
<p><b>RESOLUTIONS</b></p> <p>This record series consists of formal expressions of opinion, intention, or decision by a governing body concerning administrative matters before the governing body or relating to the governing body's areas of responsibility. These records may have archival value.</p>	Permanent. State agencies should contact the State Archives of Florida for archival review after 5 years. Other agencies should ensure appropriate preservation of records.
<p><b>RESOLUTIONS: SUPPORTING DOCUMENTS</b></p> <p>This record series consists of documentation used in formulating resolutions of a governing body. The documentation may include correspondence, memoranda, public requests, drafts and working papers, letters of support from civic and political bodies, and samples of similar resolutions from other bodies.</p>	3 calendar years after date of resolution.

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<p><b>SECURITY SCREENING RECORDS</b></p> <p>This record series consists of records documenting security screenings/background checks conducted on individuals who are not employees or candidates for employment (for instance, vendors or couriers at ports, contractors who need site access, etc.). Records may include, but are not limited to, requests for and results of background and driver's license checks, fingerprints, copies of driver's licenses, and any other supporting documentation.</p>	<p>2 anniversary years after receiving results of screening or termination of individual's access and any litigation is resolved, whichever is later.</p>
<p><b>SIGNATURE AUTHORIZATION RECORDS</b></p> <p>This record series consists of forms authorizing individuals to sign purchase orders, credit cards/receipts, or paychecks, to accept packages requiring a signature, or to sign off on other types of agency business.</p>	<p>1 fiscal year after obsolete or superseded.</p>
<p><b>SUBJECT/REFERENCE FILES</b></p> <p>This record series may contain copies of correspondence, reports, memoranda, studies, articles, etc., regarding topics of interest to or addressed by an agency or program unit. These records may have archival value.</p>	<p>Retain until obsolete, superseded, or administrative value is lost. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>
<p><b>SUBPOENAS</b></p> <p>This record series consists of subpoenas served on an agency or employee to provide specified records and/or testimony.</p>	<p>1 anniversary year after compliance date specified in subpoena.</p>
<p><b>TELEPHONE CALL RECORDS</b></p> <p>This record series consists of documentation of long distance telephone calls, cellular phone calls, or facsimiles (faxes), maintained in order to reconcile with telephone service bills/invoices. The series does not include telephone messages.</p>	<p>1 fiscal year provided applicable audits have been released.</p>
<p><b>TRANSITORY MESSAGES</b></p> <p>This record series consists of records that are created primarily to communicate information of short-term value. Examples of transitory messages include, but are not limited to, e-mail messages or other communications reminding employees about scheduled meetings or appointments; telephone messages (whether in paper, voice mail, or other electronic form); announcements of office events such as holiday parties or group lunches; and recipient copies of announcements of agency-sponsored events such as exhibits, lectures, workshops, etc. Transitory messages are not intended to formalize or perpetuate knowledge and do not set policy, establish guidelines or procedures, certify a transaction, or become a receipt.</p>	<p>Retain until obsolete, superseded, or administrative value is lost.</p>

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<p><b>TRAVEL RECORDS</b></p> <p>This record series consists of copies of travel vouchers and related records detailing expenses incurred during travel and the authorized per diem rate indicated or the amount of reimbursement based on the actual cost of lodging and meal allowances. Copies of supporting documents such as itineraries, etc. may also be included.</p>	<p>5 fiscal years provided applicable audits have been released.</p>
<p><b>UNCLAIMED PROPERTY RECORDS</b></p> <p>This record series consists of agency copies of the Report of Unclaimed Property submitted to the Department of Financial Services as required by s. 717.117, Fla. Stat., for the registration of unclaimed or abandoned tangible or intangible property. Section 717.1311(1), Fla. Stat., Disposition of Unclaimed Property – Retention of Records, requires agencies holding unclaimed or abandoned property to maintain records of the specific type of property, amount, name, and last known address of the owner for five years after the property becomes reportable.</p>	<p>5 anniversary years after the property becomes reportable.</p>
<p><b>VEHICLE ACCIDENT RECORDS</b></p> <p>This record series consists of all transportation accident reports, general correspondence, and property receipts concerning fatality or non-fatality accidents involving employees in an agency vehicle or in their own vehicle, including ground or water vehicles, during the course of agency business. The series includes information on vehicles involved, occupants, time, and circumstances. This record series is not the official law enforcement agency documentation of traffic accidents.</p>	<p>4 anniversary years provided applicable audits have been released.</p>
<p><b>VENDOR FILES</b></p> <p>This record series consists of records documenting services offered and/or provided by individual vendors. The series may include, but is not limited to, vendor background information; product/service and price lists; purchase/lease and payment histories; copies of invoices, purchase orders, and receiving reports; payment credit documentation; and other related records.</p>	<p>3 fiscal years provided applicable audits have been released.</p>
<p><b>WHISTLE BLOWER INVESTIGATIVE RECORDS</b></p> <p>This record series consists of complete case files of both substantiated and unsubstantiated formal and informal "Whistle Blower" cases investigated or released by the Office of the Inspector General of any agency. The record series includes, but is not limited to, witness statements; documentary evidence; notes filed by the person(s) filing the complaint (the Whistle Blower(s)), employees, witnesses, anonymous complainants, or others; complete case file history; letters; determinations; final reports; and executive summaries. Refer to ss. 14.32, 20.055, 112.3187-31895, and 119.07(6)(w), Fla. Stat. These records may have archival value.</p>	<p>5 anniversary years after case closed or conclusion of any litigation that may ensue provided applicable audits have been released. State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.</p>

BOX#	DESCRIPTION	DISCARD	KEEP	NOTES
317569	2001 - General Journals, Cash Journals, General Ledgers, Financials Statements	X	X	NEED to remove and keep 2001 General Ledgers and 2001 Financial Statements
317573	FLHMOCAP Board Meeting Information - 1997; Financial Reports - 1993 - 1997; Paine Webber Checkbook and checks	X	X	NEED to remove and keep Financial Statements - 1993 - 1997
317598	1997 -2001 Financial Statements; January 1998 - 2000 Check Registers; 1997 -1998 Work Copies	X	X	Need to remove and keep 1997 - 2001 Financial Statements
317601	FLHMOCAP - 2004 Bracher Financial Information; 2004 General Ledgers; 2004 Financial Statements	X	X	NEED to remove and keep 2004 General Ledgers and 2004 Financials Statements
317603	Payables - 2000 G - Z; Sales Journals - 2000; Cash Receipts - 2000; Financial Statements - 2000; General Journals - 2000	X	X	NEED to remove and keep 2000 Financials Statement and 2000 General Journals
317608	Financial Information, 2002 General Ledger; Claims Disbursements - Jan 1, 2001 through December 31, 2002	X	X	NEED to remove and keep 2002 General Ledger
318905	2005 FLHMOCAP Financial Statements; 2005 Cash Receipts; 2005 Miscellaneous Financial Information; 2005 Board of Director's Minutes; 2005 Plan Manager Information; 2005 SPIA Bank Statements; 2005 SouthTrust Bank/Wachovia Bank Statements of Asset and Activity; 2005 SouthTrust Bank/Wachovia Bank Reconciliations - Account #94-442-826/2000944428267; 2005 SouthTrust Bank/Wachovia Reconciliations - Account #1885022368; 2005 Financial Statement and Independent Auditor's Report; 2005 General Ledgers; 2005 Disbursements; 2006 Disbursements; 2006 Regions Bank; 2006 Financial Statement and Independent Auditor's Report; 2006 Wachovia Bank Reconciliations Account #2000944428267; 2006 General Ledgers; 2006 Wachovia Bank; 2006 Statement of Asset and Activity	X	X	<b>File on 11th Floor</b> 2005 FLHMOCAP Financial Statements; 2005 Miscellaneous Financial Information; 2005 Board of Director's Minutes; 2005 Financial Statement and Independent Auditor's Report; 2005 General Ledgers; 2006 Financial Statement

BOX#	DESCRIPTION	DISCARD	KEEP	NOTES
318908	1992 Correspondence, 1994 Correspondence; 1991 Expenses, 1993 Expenses, 1996 Miscellaneous Documents; ; 1996 Invoices; 1995 - 1996 Receipts and Expenses; Paine Webber Statements ; 1996 Audit	X	X	1992 - 1995 Financials Statements (Pulled from box - folder is in the office) ; 1989 - 1993 Board Minutes (Pulled from box - folder is in the office) <b>Did not pull the 1996 Audit and will need to check the box again</b>
318916	Contains other items, but keep only - 1997 General Ledgers; 1998 General Ledgers; 1998 Financials	X	X	Need to remove and keep 1997 General Ledgers; 1998 General Ledgers; 1998 Financials
318917	Correspondence - 1989, April 1992, 1991, 1990; 1991 and 1992 Bank Reconciliations; 1991 and 1992 Expenses; 1990 Bank Information	X	X	1992 and 1993 Financial Statements (Pulled from box and is in the office); <b>Did not pull the 1989 - 1991 Financial Statements and Audits; will need to check box again</b>
318918	1999 C/R Journal; 1999 Sales Journal; 1997 and 1999 Cash Disbursements; 1999 Financial Statements; 1999 General Ledgers	X	X	Need to remove and keep 1999 Financial Statements and 1999 General Ledgers
218906	1998 - 2001 Annual Board Meeting Packets	X		
317562	Claims Against Estate - Sunstar - 2001 - 2006; DFS Rehabilitation Information and Correspondence.	X		<b>File on 11th Floor</b>
317563	Individual Balance Billing Files - 2000, 2002, 2003	X		
317564	Health Plans of America - Claims Against Estate - 1996 - 2006	X		<b>File on 11th Floor</b>
317565	SunTrust Disbursement Account Statements - 2000 (checks only)	X		
317566	Vantage - Claims Against Estate - July 2001 - December 2002	X		<b>File on 11th Floor</b>



BOX#	DESCRIPTION	DISCARD	KEEP	NOTES
317567	General FLHMOCAP Documents - 1992 - 1997; DOI Meeting - 10/9/97; PCA Receivership - February 1997 - March 1997; DOI Documents - 1992 - 1997; Insurance Policies - August 1991 - August 1997; 1998 Elections; Glover Material - 1992	X		
317568	Claims Against Estate - Champion - July 1998 - March 2006	X		File on 11th Floor
317570	Sunrise - Claims Against Estate - January 1998 - March 2006	X		File on 11th Floor
317571	1998 - 2001 - ASI Balancing Reports, Premium Refunds, Claims Paid Reconciliations; On-Site Information for all Insolvencies	X		
317574	Balanced Billing - Sunstar - 2001, 2002 and 2005; Individual Subscriber Balance Billing	X		
317575	SunTrust Disbursement Account - Bank Statements - 2000	X		
317576	Payables and Claims - January 2000 - June 2000 - All Insolvencies	X		
317578	Sunrise - Legal Correspondence, Assessment Information, Claims Information, TPA Information - 1997 - 1998	X		
317579	Ultramedix - Claims Against Estate - January 1998 - March 2006	X		File on 11th Floor
317580	General FLHMOCAP Material - 1993 - 1996	X		Pull for 2nd review to confirm we do not need to retain anything.
317581	Sunstar - Claims Against Estate - April 1, 2000 - March 31, 2001	X		
317582	Sunrise Assessment Information - 1998; Amended Assessment - 1998	X		
317583	Claims Account - General Information - December 1998; Faxes from ASI; Miscellaneous Old Account Information; Paine Webber General Information; SunTrust - 1994-1999; General Audit - 1994 - 1999	X		

BOX#	DESCRIPTION	DISCARD	KEEP	NOTES
317584	SunTrust Disbursement Account - January 2001 - December 2001; SouthTrust Main Account - January 2001 - December 2001; SouthTrust Trust Account Statements - January - December 2001; SouthTrust Institutional 2001	X		
317585	Balance Billing - 1998 (all insolvencies)	X		
317586	Sunstar - Coverage Information, Financial Information - 1998, Member demographics, Court Documents - 1999 - 2000	X		<b>Need to pull and look at box to verify that there is not any Financial Statements in it</b>
317587	Champion and Health Plans of America Balance Billing - 1998 - 1999	X		
317588	Sunstar General Information - 2000	X		
317589	Sunrise 1997 Miscellaneous Documents	X		
317590	Assessments - 1999 - 2000; HIP Corrective Action; Plan of Operations through 1999; Investment Committee - 12/97 - 5/98; Strategic Planning - 1998; General Correspondence - 1998; Board Elections - 1999; Glover Audit - 1999	X		
317591	Champion Insolvency Documents - Legal Correspondence - 1998 - 2000	X		
317592	2006 - Payables, Financials, Minutes; Stamps; Audit Information - 2007	X		<b>Need to pull and look at this box to verify that there is not Minutes, Audits and Financials in it</b>
317593	Ultramedix - Prior Year Financial Statements; Coverage Information; Premium Collections - January 1999	X		
317594	SunTrust Disbursement Account - Bank Statements - January 2001 (check copies)	X		
317595	2001 Payables; FHMOCAP Claims Payments - January - December 2001	X		
317596	SunTrust Disbursement Bank Statements - March 2001 and June 2001	X		

BOX#	DESCRIPTION	DISCARD	KEEP	NOTES
317599	2003 Auditor's Statement; 2000 Audit Review; 2003 Internal Controls ; 2003 Bank Reconciliation - Disbursement Account; 2003 Bank Invoices and Account Reconciliation (Certificate of Deposit); 2003 Bank Reconciliation - Analysis Account; Purvis Gray 12/31/03 Independent Audit Report; 2003 Claims Check Register; 2003 Bank Operating Account; 2003 Paid Invoices - D.E.F., Foley and Lardner, K L M, Katz Kutter, N O P Q R S T and Sprint	X		Pull for 2nd review to confirm we do not need to retain anything.
317600	FLHMOCAP - 1994 -1997 Laws; Data Claim; Investments Advisory; New HMOs; General Correspondence; Strategic Planning 1993 - 1997	X		
317604	SunTrust Bank Statements - July 2001 - December 2001; Paine Webber Bank Statements - January 2001 - December 2001; SunTrust Account - 2001	X		
317605	Ultramedix - General Information - 1998, Assumption Information	X		
317606	Payables - 2001 C - Z; Assessment Billing; Cash Receipts - 2001	X		
317607	Ultramedix - Member Information, RFP, Assuming HMOs - 1998	X		
317609	Health Plans of America - Correspondence, Memos; ASI Contracts; Early Access Agreements; Notices to HMOs, HMO Reponses; Pleadings - 1998 - 1999; Assumptions	X		
318907	1994 - 1997 Payables (received from Prior Plan Manager ) and 1998 Payables	X		
318909	2000 - Assessment Billings, Paine Webber Statements, SunTrust Service Center Statements; SunTrust Deposit Statements; SouthTrust Bank Statements	X		
318910	SunTrust Disbursement Account - November 2000	X		

BOX#	DESCRIPTION	DISCARD	KEEP	NOTES
318911	1999 Payables G-L; 1999 Financial Services Center Statements; 1999 Paine Webber Statements; 1999 SunTrust Statements; 1999 Year-end Reports	X		Need to pull and look at the 1999 Year-end Reports to determine if they need to be kept.
318912	January 2000 - August 2000 Bank Statements and Disbursements	X		
318914	June 1999 Bank Statements	X		
318915	Sunrise Health - 1997 - 1998 Pleadings; Work File; Correspondence; Registers	X		
318919	July - December 1999 SunTrust Disbursements	X		
318920	Payables and Claims - June 2000 - December 2000 - All Insolvencies	X		
317597	SunTrust Disbursement Account - Bank Statements - February 2001	X		<b>Double check this box</b>
317602	1994 - 1999 Audit Information; 1997 - 1999 Board Meeting Material		X	Need to keep entire box -1994 - 1999 Audit Information; 1997 - 1999 Board Meeting Material
317577	1989 - 1996 Correspondence and Miscellaneous Notes			<b>FILE IS MISSING PER ACCESS</b>
318913	Ultramedix - Products; Forms 1995 - 1996; Benefits Plans; 1997 Forms and Rates			<b>??????</b>
				60