

PART 1, CHAPTER 15

PROJECT FILE AND RECORDS MANAGEMENT

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PART 1, CHAPTER 15

PROJECT FILE AND RECORDS MANAGEMENT

15.1 OVERVIEW

The Florida Department of Transportation (FDOT) maintains its Environmental Document files in accordance with FDOT's [Procedure No. 050-020-025, Records Management](#). For FDOT Federal Projects, FDOT complies with the requirements of **Federal Highway Administration (FHWA) Records Disposition Manual (Field Offices) Chapter 4** and **FHWA Order No. 1324.1B, issued July 29, 2013**, and retains appropriate files mapped to the Department of State **Retention and Disposal Schedule GS1-SL(167)**.

FDOT's Electronic Document Management System (EDMS), as defined in **Chapter 13** of FDOT's [Office of Information Technology Manual, Topic No. 325-000-002](#) serves as the environmental file of record for Environmental Documents. The EDMS stores and archives files and provides backup and disaster recovery while maintaining document access and managing records to appropriate retention and disposal schedules. When the files are imported into the EDMS, they are published to the archive and made available to other FDOT computer applications.

To support record-keeping and retention responsibilities, the StateWide Environmental Project Tracker (SWEPT) application is used in conjunction with EDMS. SWEPT is an interactive website that supports activities during FDOT's Environmental Document Review Process. SWEPT provides an interface to the EDMS that is integrated with the document review workflow. This gives easy access to the environmental project record throughout the environmental review process. When files are uploaded to SWEPT, they are attributed according to EDMS standards, placed in the appropriate group and type and associated with the required retention and disposal schedule. When an Environmental Document is approved in SWEPT, it is imported into the EDMS with associated supporting documentation.

15.2 PROCEDURE

15.2.1 Project File

In preparing an Environmental Document, FDOT determines how to manage its project files, as long as the procedures satisfy FDOT record-keeping and retention requirements and meet or exceed FHWA record-keeping and retention requirements for Federal Projects. FDOT project files are also available consistent with Florida and federal public records laws.

A project file refers to the files maintained by the project team to support development of the Environmental Document. Documents maintained in the project file for each project include, but are not limited to, letters, technical reports, correspondence, emails,

comments, responses, meeting minutes, studies, and computer modeling reports. The project file should include information FDOT considered or presented which was reasonably available during the process, including documentation of contrary opinions or conflicting data and resolution of issues or concerns raised and any resolution made in response.

15.2.2 Administrative Record

The Administrative Record (AR) is FDOT's official record of the ***National Environmental Policy Act (NEPA)*** decision making process and refers to documents from the project file that are submitted to the court during ***NEPA*** litigation. The AR is established when a lawsuit is filed, and the court requests the records. The AR includes documents and materials directly or indirectly considered or relied upon by FDOT when making decisions in the environmental review process. This includes decision documents, as well as documents generated or received by FDOT during the environmental review.

The AR, if needed, is created from the project files, which are uploaded and stored in SWEPT. When files are initially uploaded in SWEPT, they are categorized as: AR, project file only, or attorney work product (considered privileged). When an AR is required, the Project Manager uses the Administrative Record tool in SWEPT to identify and confirm which documents comprise the AR. The Project Manager also uses the Administrative Record tool to request approval from the Office of General Counsel (OGC) to create and distribute the record.

For more information on ARs, please see the ***American Association of State Highway Transportation Officials (AASHTO) Practitioner's Handbook, Maintaining a Project File and Preparing an Administrative Record for a NEPA Study.***

15.2.3 Records Management

The project file is maintained electronically within SWEPT. The Project Development and Environment (PD&E) Project Manager is responsible for maintaining an accurate and up-to-date project file in SWEPT. The PD&E project team members may assist by uploading files and managing files. It is recommended that documents be placed within the applicable folder in SWEPT according to the SWEPT Project File Organization Guidance on FDOT's [PD&E Manual Website](#) under the Supporting Resources section. When files are uploaded to SWEPT, they are attributed according to EDMS standards, mapped to the appropriate group and type and retention and disposal schedule ([Section 15.2.4](#)).

Environmental Documents and their supporting files are imported into the EDMS with associated project file records upon final document approval. When the files are imported into EDMS, they are made available according to the Environmental EDMS protocols established in the ***Enterprise Electronic Document Management System (EEDMS) QA/QC Process for the Office of Environmental Management.***

15.2.4 File Naming Convention

All documents uploaded into SWEPT and imported into the EDMS follow an established naming convention. The document name is formed by concatenating project and document information, as follows:

- a. FM#-COA-District-Document Type Abbreviation-Document subtype Abbreviation-Date;

Example: 43257425201-CE1-D4-Approved_Type_1_Categorical_Exclusion_Checklist-2016-0802.pdf

or

- b. FM#-COA-District-Document name-Date

Example: 43257425201-CE1-D4-USFWSSection7InformalConsultationLetter-2015-0619.pdf

Naming convention specifications are:

- a. FM# = The full Financial Management Number (FM#) (at least item number and item segment, and phase type, phase group and sequence number if provided, with dashes removed.)

COA = Abbreviated Class of Action:

- CE1 = Type 1 Categorical Exclusion
- CE2 = Type 2 Categorical Exclusion
- EA = Environmental Assessment
- EIS = Environmental Impact Statement
- NMSA = Non-Major State Action
- SEIR = State Environmental Impact Report

- b. District = Abbreviated District number or Florida's Turnpike Enterprise (FTE) for Turnpike: D1, D2,...FTE
- c. Document Type (and subtype) = can relate to higher level group of information to support a project. For instance, a **Natural Resources Evaluation (NRE)** is a technical report to support a particular Environmental Document. And a subtype of that report could be data, correspondence, concurrence request, or concurrence.
- d. Document_Name = The original file name, minus extension (apply this before the date), with spaces replaced by underscores

- e. Date = Date the document was created or represents (or in the case of correspondence, the date when it was sent), formatted as YYYY-MMDD. If the document being uploaded was published or made available on March 10, 2016, but not uploaded until May 15, 2016, the March 10, 2016 date is the correct date to represent the document in SWEPT naming convention. SWEPT provides a date picker to select that date on upload.

15.2.5 Retention

For FDOT Federal Projects, records are retained in accordance with [Procedure No. 050-020-025, Records Management](#) and [Retention and Disposal Schedule GS1-SL\(167\)](#). For Significant Transportation Projects, as defined in [FHWA Order No. 1324B](#), records will be stored permanently. For other projects, records are retained in SWEPT and EDMS for at least five fiscal years following completion of construction of the last project segment or last project action if the project stops before construction. Project completion is tracked and the records archived as follows:

- a. Work Program tracks completion through a “Closed Financial Projects” report.
- b. Financial Project Identification (FPID) Status 100 indicates the books have been reconciled between parties and the financial project is closed.

FPID or FM# is a unique 11-digit number assigned to track funding, schedule, and activities on a project. These 11 digits are defined as follows:

Item (6) Segment(1)Phase Group(1)-Phase Type(1)-Sequence(2)

Example: 407085-1-32-04

- c. Work program tracks projects (parent record) with subordinate FPIDs (other item segment FMs for design or construction phases) through a “Related Items” report. SWEPT obtains this information from the Work Program through a web service.
- d. SWEPT maintains list of FM#s and related FM#s (through users and/or through the related items report provided by Work Program).
- e. Once all associated FMs (related items) have reached status 100, based on the related items report provided by Work Program, SWEPT begins a 5-year countdown to meet data management requirements (projects identified as Significant Highway Projects will be retained permanently).
- f. After 5 years of related FMs reaching status 100, SWEPT provides notification to the SWEPT helpdesk that records have reached their retention schedule and updates EDMS export records to purge the project records.
- g. SWEPT sends information to EDMS marking the documents obsolete and indicating records are to be purged.

- h. EDMS sends a confirmation email to the SWEPT helpdesk that the identified records have been updated to obsolete.

Information associated with draft Environmental Documents (not approved) are retained until obsolete, superseded, or administrative value is lost as determined by the FDOT Project Manager, in consultation with the OGC.

15.3 REFERENCES

AASHTO, 2016. Maintaining a Project File and Preparing an Administrative Record for A NEPA Study. <https://environment.transportation.org/resources/practitioners-handbooks/maintaining-a-project-file-and-preparing-an-administrative-record-for-a-nepa-study/>

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https://fdotwww.blob.core.windows.net/sitefinity/docs/default-source/environment/pubs/swept-file-quick-guidance.xlsx?sfvrsn=39a0be74_6

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