



**STATE OF MONTANA
INFORMATION SERVICES DIVISION PROCEDURE
DEPARTMENT OF TRANSPORTATION**

Procedure No. 1.03.002	Subject: RECORDS MANAGEMENT PROCEDURE
Reference: MDT Policy No. 1.03.002	Effective Date: September 16, 2016

1 PURPOSE

The purpose of this procedure, in connection with the above-referenced policy is to establish the actions necessary to govern the retention and disposition of information across all activities of the Montana Department of Transportation (MDT).

2 PROCEDURES

2.1 Training

- 2.1.1 MDT personnel: Training shall be developed and delivered on a regular basis to all MDT employees concerning this policy and any applicable implementing procedures.
- 2.1.2 Third parties with access to MDT information: MDT will provide to each third party with access to MDT information the learning objectives for training concerning this policy and its implementing procedures.
- 2.1.3 MDT will also make available to each third party with access to MDT information a training program equivalent to that provided to all new MDT personnel concerning this policy and its implementing procedures. Compliance with this policy and the supporting standards shall be a contractual requirement for all third parties. Compliance will be monitored and enforced.

2.2 Roles And Responsibilities

- 2.2.1 MDT Personnel: All MDT personnel will:
 - 2.2.1.1 be aware of and adhere to this policy, the MDT Retention Schedule, and any implementing procedures;
 - 2.2.1.2 if they have possession of or responsibility for MDT records, take reasonable steps to protect those records from physical hazards and to control access to the records in a reasonable manner, with due regard for operational conditions and locations.
- 2.2.2 MDT Business Unit Executives: Division and District Administrators responsible for management of MDT Business Units will monitor the business activities under their

control and the information and records-related activities of those MDT personnel, and third parties under their supervision, and will enforce the provisions of this policy, the MDT Records Retention Schedule, and any implementing procedures.

- 2.2.3 MDT Personnel with Management or Supervisory Duties: All managers and supervisors will monitor the information and records-related activities of MDT personnel and third parties under their supervision and will enforce the provisions of this policy, the MDT Records Retention Schedule, and any implementing procedures.
- 2.2.4 MDT Records Management Steering Committee: The Steering Committee will oversee the MDT Records Management Program and ensure all appropriate interests and organizational needs are recognized and incorporated. The Committee will meet at appropriate intervals to assess the current state of the program and to provide advice and guidance to the MDT Records Manager.
- 2.2.5 MDT Records Manager: The MDT Records Manager will implement, operate, and maintain the information retention and disposition program within the scope of the provisions of this policy, applicable Federal and state laws, guidance issued by the Secretary of State, the MDT Records Retention Schedule, and implementing procedures.
- 2.2.6 MDT Record-Type Owners: Record-type owners, as designated in the MDT Record Retention Schedule, will monitor the business-need or legal basis for retention of the record type and will notify both the MDT Records Manager and the MDT Chief Counsel of any information which may indicate the need for revision of the MDT Retention Schedule.

2.3 Administrative Provisions

- 2.3.1 Approval: Process and documentation requirements are included in the Records Management Procedures Manual.
- 2.3.2 Policy Maintenance: Reviews of this policy, with the appropriate due diligence performed on all laws and regulations affecting this policy, as determined by the MDT Chief Counsel or designee, will be initiated annually or upon the passage of new legislation or guidance impacting information retention.
 - 2.3.2.1 The MDT Chief Counsel, or designee, shall approve changes to this policy. Processes and procedures concerning the review and maintenance of this policy will be included in the Records Management Procedures Manual.
- 2.3.3 Exceptions: Exceptions to the provisions of this policy may be issued by the MDT Chief Counsel, or designee, for a specific period of time. Exceptions will be documented in accordance with the Records Management Procedures Manual.
- 2.3.4 Compliance Monitoring: Each Business Unit will monitor compliance with the provisions of this policy, the Records Retention Schedule, and the Records Management Procedures Manual in accordance with procedures set forth in the

3 ADDITIONAL INFORMATION

3.1 Not Applicable.

4 KEYWORDS

4.1 Not Applicable.

REVISION HISTORY

DATE OF REVISION	REVISION # OF PROCEDURE	REASON FOR MODIFICATION	AUTHOR OF REVISION
September 16, 2016	Procedure # PRO 1.03.002 Revision occurrence #1	New Procedure Format	Paul Grant, Policy Specialist