Illinois Department of Transportation

Document Management Standards Manual

Document Management Standards Manual

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The Document Management Standards are an appendix to Departmental Order 9-1: Document Management Program.

The purpose of this manual is to outline the various standards which affect the department's documents and to establish uniform procedures for the application of the requirements.

Management shall take steps necessary to ensure all employees are aware of and documents are in compliance with the standards outlined in this manual.

Any questions as to the application or interpretation of the standards summarized herein or suggestions for improvement should be referred to the Bureau of Business Services at mailto:DOT.Policy@illinois.gov

Document Control and Revision History

The Document Management Standards are regularly reviewed for adequacy and updated by the Bureau of Business Services as necessary. The approval process for changes to this manual is conducted in accordance with the document control standards outlined Departmental Order 1-1: Policy Administration Program and in this manual.

Interim changes are communicated in the form of Document Control Policy memorandums from the Bureau of Business Services to the Document Management Committee representatives, who are responsible for communicating changes to affected stakeholders in their area of responsibility. Document Control Policy memorandums are available electronically on the Policy Center site in InsideIDOT. Updates issued as Document Control Policy memorandums are incorporated into the manual and the manual reissued periodically.

Official archive versions of this manual are available to examine by contacting the Bureau of Business Services' Document Services Unit at DOT.Policy@illinois.gov.

This manual is intended to be used electronically as it includes an extensive collection of hyperlinks within and to resources external to the document. Portable Document Format (PDF) has been selected as the primary distribution format, and the official version of the manual is available on the Policy Center site in InsideIDOT.

The information contained in this manual is current as of the date of issuance. Employees are responsible for ensuring use of the most current version of any document. All current policy documents are available on the Policy Center site in InsideIDOT.

Date	Description	Approval
	Section 2. Document Control Standard updated.	Baranzelli
	Section 7. IDOT Symbol & Signature removed from manual. Will be updated and published by Office of Communications.	Gurski & Baranzelli
	Section 8. Graphics and Printing has been removed. The relevant content is available on InsideIDOT at https://insideidot.portal.illinois.gov/Resources/Pages/DesignandPrintServices.aspx	Baranzelli
	Section 9. Manuals moved to Policy Administration Program Manual.	Baranzelli
	Section 10. Engineering Documents moved to Chapter 2. Implementation	Baranzelli
	Section 12. Correspondence removed from manual. Will be published as appendix to Departmental Orders 10-2 and 10-3.	Baranzelli
	Section 13. Templates has been moved to the Forms Management Manual.	Baranzelli
	Section 14. Forms has been moved to the Forms Management Manual.	Baranzelli

Introduction

Documents are tools for information transmission and communication; evidence of conformity/evidence what was planned has actually been done; knowledge sharing; and to disseminate and preserve the organization's experiences. (International Organization for Standardization, 2008)

The department defines a document as a body of information designed with the capacity and/or intent to communicate, regardless of the medium, content, or method of delivery. Examples of various types of documents include, but are not limited to, blank forms, checklists, contracts, drawings, exhibits, evaluations, flow diagrams, instructions, manuals, marketing material, newsletters, normative documents, pamphlets, photographs, policies, standard operating procedures (SOPs), reports, schedules, specifications, plans, templates, training materials, and work instructions. (Departmental Order 9-1: Document Management Program).

Documents are required by the department to ensure effective planning, operation, communication, and control of processes. Document control provides a framework for deciding how information is created in the department and how it is managed once it is created. The purpose of document control is to ensure:

- documents fulfill a useful purpose;

- resources are not wasted on the distribution of unimportant or useless information;

- only valid information is published;

- information is kept up to date;

- confidential and official use only information is restricted to the people who have a real need to access it; and

- information is retained that could help solve a problem, improve opportunities, avoid costly errors, or deflect potential litigation.

Proper document control practices are critical to maintaining quality and safety standards throughout the department. The use of outdated or inaccurate documentation can be avoided by following the basic requirements set forth in this manual. Application of the ISO 9001 standard for the control of documents within the department:

- creates an informed environment;

- ensures users have timely access to the information they need;

- identifies document owners and defines responsibilities;

- preserves knowledge;

- provides authoritative approval;

- ensures documents are reviewed and updated as necessary;

- prevents the unintended use of obsolete documents; and

- ensures applicable regulatory and customer requirements are addressed.

Document control is a crucial element to litigation management. Successful discovery and motion practice require systematic techniques and procedures for managing documents throughout the entire pendency of action. Early organization will substantially ease the burden of final trial preparation, and good document management increases the probability of a favorable resolution of action.

Document control should not be confused with records management. Although document control and records management are related, they are separate components of the department's overall information architecture. The information lifecycle graphic below illustrates the relationship:
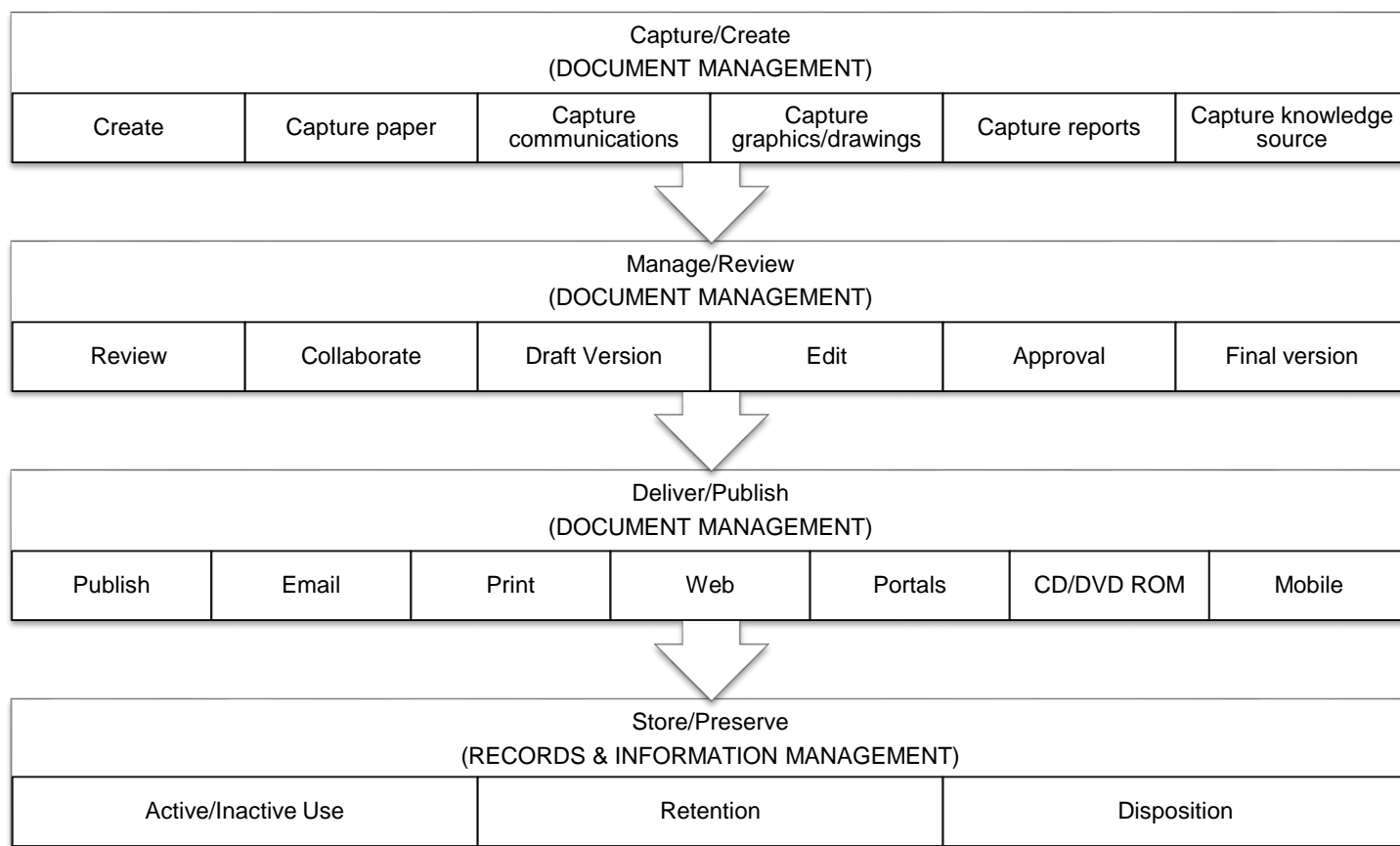
Capture/Create (DOCUMENT MANAGEMENT)					
Create	Capture paper	Capture communications	Capture graphics/drawings	Capture reports	Capture knowledge source

Manage/Review (DOCUMENT MANAGEMENT)					
Review	Collaborate	Draft Version	Edit	Approval	Final version

Deliver/Publish (DOCUMENT MANAGEMENT)						
Publish	Email	Print	Web	Portals	CD/DVD ROM	Mobile

Store/Preserve (RECORDS & INFORMATION MANAGEMENT)		
Active/Inactive Use	Retention	Disposition

Figure 1: Information lifecycle graphic

Departmental Order 9-2: Records & Information Management and the Records & Information Management Manual communicate the department's rules, responsibilities and requirements for managing the department's records and information assets.

CHAPTER 1 - STANDARDS

This chapter lists various standards which affect the department's documents. The Bureau of Business Services' Document Services Unit is available to provide support and is responsible for the control of specific types of documents: forms, statewide templates, and policy documents. Each office is responsible for ensuring the following standards are met.

1-1   Accessibility Standards for Users with Disabilities. A document is considered accessible if it meets certain technical criteria and can be used by people with disabilities. This includes access by people who are mobility impaired, blind, low vision, deaf, hard of hearing, or who have cognitive impairments.

    A. **Audio**. Whenever possible, alternative accessible electronic formats are recommended prior to considering audio tapes in order to focus on offering accessible electronic formats following the Illinois Information Technology Accessibility Act (IITAA). (Illinois Department of Human Services, 2018)

    B. **Information Technologies**. The department is obligated under the Illinois Information Technology Accessibility Act (IITAA) to ensure all web sites, information systems, and information technologies are accessible to people with disabilities.

    C. **Large Print or Braille**. Under the Americans with Disabilities Act and Section 504 of the Rehabilitation Act, printed material is to be provided in large print, braille, audio tape, or accessible electronic format upon request. (United States Department of Justice Civil Rights Division) (US Department of Labor)

    D. **Publications**. The IITAA requires state agencies to follow minimal standards and encourages State Agencies to incorporate accessibility into the development and maintenance of all publications. The Americans with Disabilities Act and Section 504 of the Rehabilitation Act require all States to ensure both internal and external publications are accessible to those with disabilities. As such, all electronic publications are to be prepared for access by users with disabilities, such as blindness, low vision and mobility impairment.

> ADDITIONAL RESOURCES
>
> IITAA Standards
>
> PDF Accessibility Resources
>
> ADA Effective Communication
>
> ADA Best Practices Toolkit for State and Local Governments
>
> APH Guidelines for Print Document Design

    E. **Navigational Aids**

        I. **Alternative Text**. Alternative Text (Alt Text) is a textual alternative added to describe visual content within a document. Alt Text is read by a screen reader to help blind and low vision users determine what is important and how to understand information in images and other visuals. Visual Content includes pictures, clip art, SmartART, graphics, shapes, groups, charts, embedded objects, ink and videos.

        II. **Styles & Headings**. Styles are predefined combinations of font style, color and text. Using styles and headings will create structure, preserve tab order and make it easier for screen readers to read through documents. Styles create an outline of the document by using different headers, titles and subtitles for varying section levels. With headings the document is more organized, allowing users to jump between different sections of the document.

III.   **Links.** A link (or hyperlink) is an electronic link to a site or email address that the users can directly follow by clicking on specified text or image.

   a)   **Print**. If the document is distributed as hard copy only, insert the full URL within the document. Example:

   Department of Transportation (www.idot.illinois.gov)

   b)   **Electronic**. If the document is available electronically (can be read/filled out online) then use descriptive hyperlink text to direct users to a web location. For example:

   <u>Department of Transportation</u>

   c)   **References**. All references to other resources (other publications, legislation, websites, etc.) should be hyperlinked. When referencing a specific section of a department publication, set the page view to show the part of the page containing the heading.

   d)   **Click Here**. Avoid the use of "Click Here".

   e)   **Format.** Hyperlinked text within documents shall be distinguished by blue (R=0, G=0, B=255) colored font and an underline. Microsoft Word will apply blue underlined text by default when inserting a new hyperlink.

IV. **Bookmarks**. Bookmarks are especially helpful and can be created from a Microsoft Word document's styles. The bookmarks established in Microsoft Word will automatically transfer when documents are converted to PDF. Bookmarks can be accessed using a keyboard without relying on the mouse, and allow for multiple ways for users to navigate content.

F.   **Lists**. Lists group similar items together and are crucial to organizing text within a document. There are three main types of lists: bulleted, numeric and multi-level. Bullet lists place a bullet mark at the beginning of each line. Numbered, or ordered, lists use numeric or alphabetical characters at the beginning of each line to establish an order. Multi-level lists place numeric or alphabetical characters and also indent sections and create a hierarchy of information.

G.   **Scanned Documents**. Publishing scanned documents should be avoided. A document that consists of scanned images of text is inherently inaccessible because the content of the document is a graphic representing the letters on the page, not searchable text. Assistive technology software cannot read or extract the words in a graphical representation.

H.   **Simple Table Structure**. Simple tables are those that do not contain any split or merged cells, nested tables or completely blank rows or columns. Using simple table structure and specifying the column header information will allow the screen reader to properly navigate through tables. Screen readers track location within a table by counting table cells. If cells are split or merged the screen reader loses count and cannot provide helpful information about the table from that point on.

When adding tables to a Microsoft Word document avoid the 'Draw Table' feature. Instead, either visually select the size of table with the mouse or select the 'Insert Table…' option, which prompts the user to enter the number of desired rows and columns.
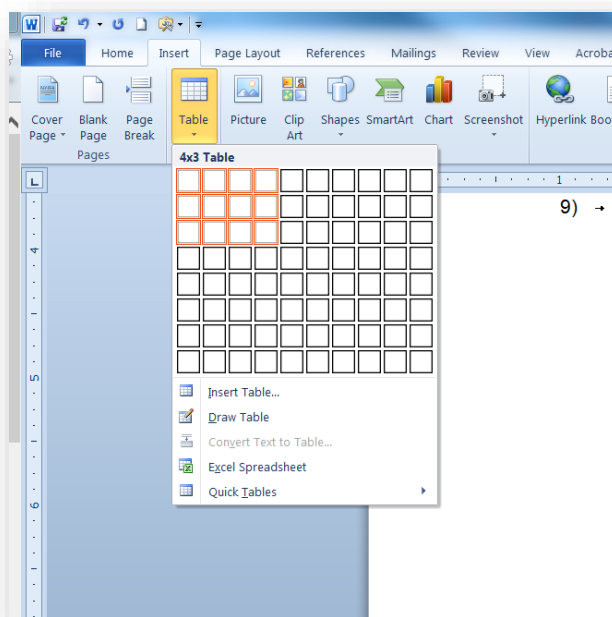
Figure 2: Draw Table Example

I. **Color Contrast**. Color contrast is the most common accessibility issue. For this reason, it is especially important to use sufficient contrasting colors for text and background colors. Never use color alone to convey meaning or important information. Users who are blind, have low vision or are colorblind may not recognize the meaning conveyed by text of a particular color. Color difference should be accompanied by another feature, such as bolding, underlining or italicizing the text.
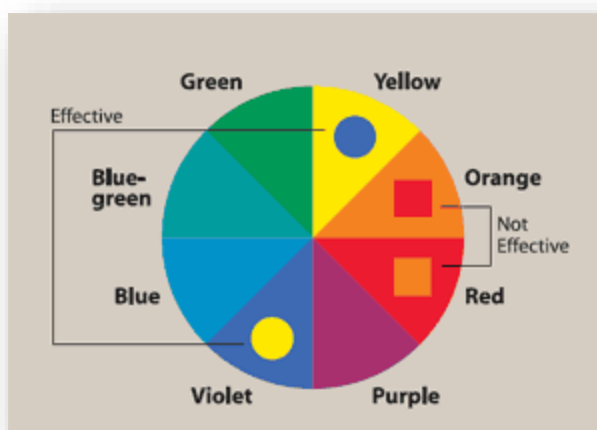

Figure 3: Color Contrast Example

1-2   Document Control Standards

A. **Criteria**. Documents shall be controlled if they meet *one* or more of the following conditions:

1) are required to be used
2) guide the production of products or services provided by the department
3) guide the verification, inspection, or testing of products or services provided by the department
4) define customer and/or product/service requirements
5) are used for controlling processes
6) are used for decision making by personnel
7) are used for collecting data that could later be used for decision making
8) contain critical information necessary to mitigate risk to the department and its customers

B. **Standards**

1) **Documents Shall Be Approved for Adequacy Prior to Use**. Approvals must be recorded prior to the release of the document. Approvals may be in the form of a written signature, email, or electronic approval record. The date of all approvals must precede the document's date of issuance. This requirement also applies to temporary documents such as memos or postings. Any temporary documents must be clearly identified, signed, and dated. It is advisable to include an expiration date on temporary documents to ensure they are removed from use when intended.

2) **Documents Shall Be Updated as Necessary and Re-Approved**. All documents must be reviewed periodically and updated and re-approved if needed. This review can be tied to the internal audit process, management review, or a scheduled periodic review. A record of reviews be retained.

3) **Changes and the Current Revision Status of Documents Must Be Identified.** When a document is updated, a record must be kept of the change (the reasons for and nature of the change). In addition, the current revision status must be maintained. This includes development stages (draft, review, approval, etc.) and the date (and revision number, when applicable) identifying the current version of the document.

   Note: *To ensure operational, legal and audit requirements are met, every single document shall display a date (mm/dd/yyyy).*

4) **Relevant Versions of Applicable Documents Shall be Available at Points of Use**. The storage and access of documents must easily allow individuals to find the appropriate version of a document to use where needed. Note that older versions of documents still needed (e.g. specifications) may remain active if necessary, but the revision level must be made clear.

5) **Documents Shall Remain Legible and Readily Identifiable**. The format and storage of documents must protect a document from being rendered unreadable due to wear or damage and ensure every document can be clearly identified through a title, document number, or other suitable identification.

6) **Ensure Documents of External Origin are Controlled**. Documents which do not originate within the department but are necessary for ensuring quality and meeting customer requirements, must also be controlled. This can include customer, supplier, or industry documents. However, the extent of control is limited to clear identification and controlled distribution. A log or other record would suffice to track external documents.

7)   **Prevent the Unintended Use of Obsolete Documents and Apply Identification if Retained**. Out of date or cancelled versions of documents must be protected from unintentional use. This usually requires segregation or disposal of obsolete documents. Any obsolete documents kept for reference or other purposes shall be clearly identified as such.

Document Type	Description	Unique ID	Approval Authority	Review	Current Version ID	Records Management	Availability
Departmental Orders	Executive directives that affect the operations of the entire department.	DO Number and Title	see DO 1-1: Policy Administration Program	see DO 1-1: Policy Administration Program	Date and version number (when available)	Records Center per retention schedule 12-27 Item 1: Policy Files	Policy Center site on InsideIDOT
Departmental Rules	Executive directives that directly affect persons or organizations outside the department, not covered by statutory exceptions provided in legislative Rules on Rules and are filed with the Secretary of State, as required by the Illinois Administrative Procedures Act.	Title	Joint Committee on Administrative Rules (JCAR)	Minimum of once every 5 years	Date	Responsibility of JCAR	Secretary of State Index Department of Rules Division and Policy Center site on InsideIDOT
Departmental Policy	Executive directives that affect the operations of one or more, but not all Offices.	DP Number and Title	see DO 1-1: Policy Administration Program	see DO 1-1: Policy Administration Program	Date and version number (when available)	Records Center per retention schedule 12-27 Item 1: Policy Files	Policy Center site on InsideIDOT and www.dot.il.gov (for external stakeholders)
Policy and Procedure Manuals	Documents describing the approach to implementation of Orders, Policies and Rules	Title	see DO 1-1: Policy Administration Program	see DO 1-1: Policy Administration Program	Date and version number (when available)	Records Center per retention schedule 12-27 Item 1: Policy Files	Policy Center site on InsideIDOT and www.dot.il.gov (for external stakeholders)
Contracts & agreements	Legally binding documents	Title	see DO 2-2: Signature Authority	as needed	Execution and renewal dates	Completed contracts and agreements retained per applicable retention schedule	Completed contracts and agreements maintained per applicable retention schedule
Work instructions	Documents which provide step-by-step instructions on how to complete a specific task; bureau level or lower	Title	Owner	as needed	Date	Originating office	Originating office
Templates (statewide)	Boilerplate documents, usually contract, agreements, form letters, business cards, labels and memorandums.	Template Number	Owner, recorded via BoBS 50	as needed	Date	Bureau of Business Services	Forms & Templates site on InsideIDOT
Templates (bureau-specific)						Originating office	Bureau SharePoint site and www.dot.il.gov (for external stakeholders)
Forms	Documents which capture information resulting from the actual performance of procedure and work instructions, and provide, once completed, objective evidence that the procedure has been performed as documented	Form Number	Owner, recorded via BoBS 10, BoBS 20, or BoBS 30	as needed	Date	Development files per retention schedule 17-73 Item 1: Business Forms Management Files Completed forms retained per applicable retention schedule	Forms & Templates site on InsideIDOT www.dot.il.gov (for external stakeholders)

Figure 4: Document Control Table

1-3   Electronic File Name Standards

The department utilizes hyperlinks within forms and publications to facilitate access to reference material and additional resources as well as ensure users have access to the most current versions of forms and documents. The following file naming rules are required to maintain the integrity of content on the intranet and internet and hyperlinks to and within department forms and documents.

A. **Forms**. Filenames of forms shall reflect the form number and remain the same from version to version. *(See the Forms Management Manual)*

B. **Single Publications**. Single publications are those which will only be published once; they will never be updated (i.e. posters). Filenames of single publications shall reflect the official title of the publication.

C. **Continually Updated Publications**. Continually updated publications are those which the revised version *completely* replaces the current version when published (i.e. Personnel Policies Manual). There is only ever one "current" version of these types of publications. Filenames of continually updated publications shall reflect the official title of the publication; and remain the same from version to version (i.e. PersonnelPoliciesManual.pdf).

D. **Series**. Due to the nature of the content, some publications require multiple versions to be made available to users in a series. In other words, multiple versions may all be considered "current" versions at the same time (i.e. Standard Specifications for Road & Bridge Construction). Filenames of serial publications shall reflect the official title of the publication and include the series number (i.e. StandardSpecificationsforRoadandBridgeConstruction-2016.pdf).

> ***Note***: *Consult with the Business Services' Document Services Unit (DOT.Policy@illinois.gov) prior to naming or renaming documents to be published electronically.*

1-4   Readability

The Flesch Reading Ease test rates text on a 100-point scale. The higher the score, the easier it is to understand the document. For most documents a score between 60 and 70 is recommended.

1-5   Security

Password protection for department documents is prohibited. If the password is forgotten or the employee who knows the password leaves the department, there is no way to unlock a password protected file. Additionally, the text of an accessible PDF must be available to a screen reader and for electronic archive purposes. Avoid restricting users from printing, copying, extracting, editing or adding comments to text, which interferes with a screen reader's ability to convert the on-screen text to speech or Braille.

1-6   Document Authoring & Publishing Software

Accessibility features in Adobe Acrobat, Adobe Reader and in the Portable Document Format (PDF) make it easier for people with disabilities to use PDF documents and forms, with and without the aid of assistive technology software and devices such as screen readers, screen magnifiers, text-to-speech software, speech recognition software, alternative input devices, Braille embossers, and refreshable Braille displays. As such, Portable Document Format (PDF) is the department's default format for the issuance of electronic publications such as policies, manuals, guides, reports, brochures, forms, etc. Each publication shall be issued as a single PDF.

1-7   Typography

Arial is the default font of the department because of its distinctive, modern appearance and good legibility. Regular, bold and matching italics are the only versions of Arial font approved for general use. The consistent use of this type family is required to establish and maintain a "house style" for all department correspondence and publications. Most importantly, Arial is a sans-serif typeface made up of mainly straight lines, which is ideal for persons with visual impairments.

CHAPTER 2 - IMPLEMENTATION

To avoid duplicating information, the table below provides references to existing policies which cover document control for specific types of documents.

Airport Consultant and Grant Agreements	Federal Aviation Administration Order 5100.38D: Airport Improvement Program Handbook
Airport Environmental Engineering Documents	Federal Aviation Administration Order 5050.4B: National Environmental Policy Act
Airport Land Acquisition	Federal Aviation Administration Order 5100.37B: Land Acquisition and Relocation Assistance for Airport Projects
Bridge & Structure Plans	Section 1 of the Bridge Manual
Engineering Consultant Agreements	Chapter 6 of the Bureau of Design and Environment Manual
Environmental Impact Statements	D&E 28: Legal Sufficiency Review of Environmental Documents
Forms & Templates	Forms Management Manual
Highway Construction Contracts	Chapter 66 of the Bureau of Design and Environment Manual
Highway Construction Land Acquisition	Departmental Order 6-8: Selection and Control of Land Acquisition Services Related to Highway Construction Projects
Highway Construction Plans, Specifications, and Estimates	Chapter 66 of the Bureau of Design and Environment Manual
Non-Construction Contracts	Departmental Order 12-2: Procurement of Commodities, Equipment, and Services
Legal Papers	Departmental Order 6-1: Official Handling of Legal Papers and Related Communiqués
Policy Documents	Departmental Order 1-1: Policy Administration Program and the Policy Administration Program Manual

Figure 5: Implementation Reference Table

GLOSSARY OF TERMS

brochure
a printed sheet of paper, usually folded, that is provided free and gives information about something

contract
a written agreement intended to be enforceable by law

document
tools for information transmission and communication; evidence of conformity/evidence what was planned has actually been done; knowledge sharing; and to disseminate and preserve the organization's experiences. (International Organization for Standardization, 2008)

draft
something such as a plan, letter, or drawing that may have changes made to it before it is finished; a piece of writing or a drawing that is not finished

file
a set of papers, documents, or records that you keep because they contain information

manual
a book of instructions especially for learning a subject; a handbook. Synonyms: handbook, instruction book, instructions, guide, how-to-book, companion, primer, program, guidebook, etc.

publication
an official document containing information on a particular subject published by the department

report
a spoken or written account that gives information about a particular subject, situation, or event; an official document on a particular subject; a report often gives detailed information about what the department has done and how successful it has been

text
a written record of the words of a speech, lecture, program, or play

TABLE OF FIGURES

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