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RETENTION AND DISPOSITION SCHEDULE FOR
RECORDS OF PENNSYLVANIA MUNICIPAL GOVERNMENTS

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RETENTION AND DISPOSITION SCHEDULE FOR RECORDS OF
PENNSYLVANIA MUNICIPALITIES

CHAPTER ONE

GENERAL PROVISIONS

1. DEFINITIONS

The following words and terms, when used in this chapter, shall have the following meanings:

ACT - The Municipal Records Act of January 18, 1968 (P.L. 961, No. 428). (See Appendix A)

COMMISSION - The Pennsylvania Historical and Museum Commission.

COMMITTEE - The Local Government Records Committee.

STATE ARCHIVES - The Commission's Division of Archival and Records Management Services.

2. PURPOSE

This schedule is issued to inform municipal officials in cities of the third class, boroughs, incorporated towns, townships of the first and second classes, including any municipal corporations as described in this paragraph which have adopted a home rule charter, and any municipal authority created by any of these municipalities of the opportunity to legally dispose of records in accordance with the provisions of the Records Retention and Disposition Schedule approved by the Local Government Records Committee.

3. THE PROGRAM

An effective records management program can reduce storage and retrieval costs and increase productivity. Recognition of the need for a workable local records management program in Pennsylvania led to the passage of the Municipal Records Act of 1968, and the creation of the Commonwealth's Local Government Records Committee. The Committee's primary responsibility is to develop records retention and disposition schedules for each municipal office. Municipal officers are authorized by the

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Municipal Records Act to dispose of records in accordance with schedules and guidelines which have been approved by the Committee. It is to be understood that the schedules authorize and recommend, but do not require the disposal of records after the expiration of approved retention periods.

Under the Municipal Records Act, the Pennsylvania Historical and Museum Commission is designated as the agency responsible for administering the program of the Local Government Records Committee. The Commission works through its Division of Archival and Records Management Services (State Archives) in carrying out these records functions. The Archives seeks and utilizes the assistance of State and municipal officials and others knowledgeable in this area to guide it in setting standards for the retention and disposition of municipal records. It is believed that the establishment of records disposition procedures for the use of municipal officials will help ensure the preservation of records of permanent value and encourage the destruction of non-essential records.

4. MUNICIPAL RECORDS

The Municipal Records Act defines "public records" as "any papers, books, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by an entity under law or in connection with the exercise of its powers and the discharge of its duties." Retention periods listed on the Municipal Records Schedule apply to information in all forms and formats. The fact that information is created and stored electronically or on microfilm rather than on paper has no bearing on its retention status. All information included under the definition of a municipal record may be disposed of in accordance with the Municipal Records Act and disposition procedures approved by the Local Government Records Committee. If not specified in this schedule, contact the State Archives for information regarding the disposition of duplicate copies of records.

Historically valuable public records are public property and should remain in public custody. Such records should be maintained in a municipally operated archives/records center. If a municipality cannot adequately care for its own historical records, provisions may be made to store select inactive records of historical value at the State Archives in accordance with the State Administrative Code.

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Records are scheduled for permanent retention by municipal governments, either in the original or microfilm form, if they have continuing administrative and legal value. Such records are also historically valuable. However, the fact that records are not scheduled for permanent retention does not necessarily mean they do not have any historical value or that the State Archives would not be interested in accessioning some of these records.

For example, since relatively few early records have survived to the present, some records are historically valuable merely because of their age. Questions regarding the possible historical value of local public records, including those created after 1910, should be referred to the Commission's Division of Archival and Records Management Services (State Archives).

5. PROCEDURES FOR THE DESTRUCTION OR TRANSFER OF MUNICIPAL RECORDS

Records may be destroyed or transferred in conformance with the provisions of Sections 1386 and 1388 of the Municipal Records Act. According to Section 1387, a municipal official who disposes of public records in accordance with the provisions of the Municipal Records Act shall not be held liable on his/her official bond or in the way of damages for loss or in any other manner, civil or criminal, because of the disposition of public records pursuant to the provisions of this act.

These sections require a municipality to:

(a) Declare its intent to follow the Municipal Records Schedule by municipal ordinance or resolution. This is basically a one time requirement. **However, if the schedule is revised or updated, the municipality should go on record again by ordinance or resolution and specifically identify the new schedule so there is no confusion about which retention periods to follow.** (See Appendix B)

(b) Approve each individual act of disposition by resolution of its governing body. The records custodian should identify the records he/she wants to destroy and have the governing body of the municipality concur with each individual request for destruction by means of a resolution. For example, if a municipal official wants to destroy ten boxes of canceled checks in accordance with schedule guidelines, the governing body must give its approval. The same is true if two years later he/she wants to destroy another ten boxes of canceled checks. (See Appendix C).

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- (c) When a municipality wishes to destroy non-permanent records listed on the schedule, only subparagraphs (a) and (b) above must be followed. The Commission does not have to be notified of such action. **Microfilm copies may be substituted for non-permanent records unless otherwise noted in the schedule. Microfilm substituted for non-permanent records must meet appropriate standards approved by the Local Government Records Committee.**
- (d) In the following instances, in addition to complying with subparagraphs (a) and (b) above, receive written consent from the Commission by submitting a Records Disposal Certification Request in duplicate to the Commission's Division of Archival and Records Management Services (see Appendix D). Please take note that if the disposal request involves compliance with retention requirements promulgated by an administering/funding/licensing agency, a copy of the appropriate rule should be included with the disposal form.

Submit Disposal Forms:

- (i) Before destroying or transferring original, permanently valuable records which have been photographed, microphotographed or microfilmed. **Microfilm copies may be substituted for permanent records unless otherwise noted in the schedule. Microfilm substituted for permanently valuable records must meet the appropriate standards approved by the Local Government Records Committee.**

Requests to dispose of original records scheduled for permanent retention must be accompanied by appropriate microfilm quality inspection report forms (MCIR-1) relating to the disposal request. These forms are available from the Division of Archival and Records Management Services.

- (ii) Before destroying or transferring **records not listed on the schedule** or **records created prior to 1910.**

CHAPTER ONE (Continued)

6. AUDIT REQUIREMENTS, FEDERAL AND STATE STATUTES/ ADMINISTRATIVE REGULATIONS AND RECORDS INVOLVED IN LITIGATION

Records subject to audit must be retained for the periods listed in the schedule and must be audited and all findings resolved before such records may be destroyed. Applicable Federal and State statutes and administrative regulations may necessitate retaining records for a longer period of time than indicated in the schedule. Information on specific program regulations should be obtained from the appropriate administering/funding/licensing agency. Conversely, such statutes and regulations may permit a shorter retention than indicated in the schedule. In those instances please contact the State Archives before disposing of records.

Records involved in any litigation must be retained until final disposition of the case even if they have met the minimum retention requirements.

7. STANDARDS FOR MICROFILMING MUNICIPAL RECORDS

(a) Authority

The standards were adopted by the Local Government Records Committee in accordance with the Municipal Records Act.

(b) Purpose

The standards are designed to help ensure the accuracy, usability, longevity and legal acceptance of microforms generated by municipal offices.

(c) Scope

The standards relate to the filming, processing, inspection, handling and storage of microform copies of municipal records. **They must be included as part of the requirements in all microfilm service contracts.** With minor exceptions, these standards are in strict conformance with American National Standards Institute (ANSI) and Association for Information and Image Management (AIIM) standards and practices. Color films are not covered by the standards.

Municipal officials who plan to microfilm records should contact the State Archives for copies of the Standards for Microfilming Municipal Records, advice on contracting for

CHAPTER ONE (Continued)

microfilm services, information on establishing a micrographics program, and sample microfilm identification targets.

8. POLICY AND GUIDELINES FOR THE RETENTION AND DISPOSITION OF ORIGINAL MUNICIPAL RECORDS COPIED ONTO OPTICAL IMAGING SYSTEMS AND MUNICIPAL RECORDS STORED ON OPTICAL DISKS

(a) Purpose

Establish and clarify a records management policy for municipal officers with respect to the retention and ultimate disposition of original records copied onto optical imaging systems and to records stored on optical disks in order to enable officers to incorporate information retention and retrieval considerations at the earliest possible time into their plans to acquire optical imaging systems. Electronic Data Interchange, Optical Character Recognition data, or static electronic database information that an officer may wish to store on optical media are not addressed in this policy.

(b) Objectives

- (i) To integrate records maintained on optical disks into municipal records management programs.
- (ii) To provide information needed by municipal officers to properly evaluate the effect of optical imaging systems on their operations.
- (iii) To ensure that information stored on optical imaging systems will be accessible in conformance with records retention and disposition schedules and procedures approved by the Local Government Records Committee.
- (iv) To reduce the risks associated with optical imaging system hardware and software obsolescence.

(c) Scope

Applies to all municipal officers covered by the Municipal Records Act.

Before purchasing or using an optical imaging system to copy or store municipal records, municipal officers should

CHAPTER ONE (Continued)

contact the State Archives for copies of the Policy and Guidelines for the Retention and Disposition of Original Municipal Records Copied onto Optical Imaging Systems and Municipal Records Stored on Optical Disks.

9. STANDARDS AND PROCEDURES FOR ELECTRONIC RECORDS

(a) Authority

These standards and procedures were adopted by the Local Government Records Committee in accordance with the Municipal Records Act.

(b) Purpose

The standards and procedures are designed to help ensure the accuracy, usability, longevity, and legal acceptance of electronic records generated by municipal offices.

(c) Scope

These standards and procedures establish the basic requirements relating to the creation, maintenance, use and disposition of electronic records. Electronic records include numeric, graphic, and text information which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record as defined in the Municipal Records Act. This includes, but is not limited to: magnetic media such as computer tapes, disks, diskettes and other electronic storage devices containing records. These requirements apply to all electronic records systems, whether microcomputers, minicomputers or main-frame computers, in network or stand-alone configurations. The guidelines apply to all municipal officers covered by the Municipal Records Act. Policy and guidelines for the retention and disposition of municipal records copied onto optical imaging systems and stored on optical disks are not included in this chapter but are covered under the Policy and Guidelines for the Retention and Disposition of Original Municipal Records Copied Onto Optical Imaging Systems...

Municipal officials who are responsible for the management of records in an electronic format should contact the State

CHAPTER ONE (Continued)

Archives for copies of the Standards and Procedures for Electronic Records.

10. THE RETENTION AND DISPOSITION OF RECORDS CREATED ON ELECTRONIC MAIL (E-MAIL) SYSTEMS

(a) Purpose

Establish and clarify records management policy with respect to the retention and disposition of records created on electronic mail (e-mail) systems.

(b) Objectives

- (i) Integrate records on e-mail systems into the Municipal Records Schedule issued by the Local Government Records Committee.
- (ii) Provide information needed by local governments to determine properly the disposition of records created on e-mail systems.
- (iii) Ensure that records created on e-mail systems will be accessible in conformance with records retention and disposition schedules and procedures approved by the Local Government Records Committee.

(c) Scope

Applies to local governments subject to the Municipal Records Act.

Contact the State Archives for copies of The Retention and Disposition of Records Created on Electronic Mail (E-Mail) Systems.

Advice and assistance in connection with the application of this schedule may be obtained by writing or calling the:

Pennsylvania Historical and Museum Commission
Division of Archival and Records Management Services
Pennsylvania State Archives Building
350 North Street
Harrisburg, PA 17120-0090

Telephone (717) 787-3913, 783-9874 or 783-5796

7. **STANDARDS FOR MICROFILMING MUNICIPAL RECORDS**

(a) **Authority**

The standards were adopted by the Local Government Records Committee in accordance with the Municipal Records Act (53 P.S. § 9001-9010).

(b) **Purpose**

The standards are designed to help ensure the accuracy, usability, longevity, and legal acceptance of microforms generated by municipal offices.

(c) **Scope**

The standards relate to the filming, processing, inspection, handling, and storage of microform copies of municipal records. **They must be included as part of the requirements in all microfilm service contracts.** With minor exceptions, these standards are in strict conformance with American National Standards Institute (ANSI) and Association for Information and Image Management (AIIM) standards and practices. Raster Computer Output Microforms are covered by the standards. Color films are not covered by the standards.

(d) **General Provisions**

When a microform copy is to serve as or in place of the original record or is to serve as a security copy of the original record, the following general standards shall apply:

- (i) Microimages, including the generation intended for use by office staff or the general public, shall contain all of the recorded information shown on the originals and shall be able to serve the purpose for which the original records were created or maintained. Microimages shall be free of obstructions, shadows or glare which impair the legibility of a document.
- (ii) Microimages of the records shall be arranged, identified and indexed so that any individual document or component of the records can be located with reasonable ease.

(e) **Creation of Archival Security Microfilm Copies of Permanent Records**

- (i) All municipal records custodians engaged in, or contracting for, the microfilming of permanent records shall provide for the creation of an archival security microfilm copy of such records.
- (ii) Permanent records are those records which have been scheduled for permanent retention either in the original or microfilm copy by the Local Government Records Committee or by applicable statute and regulation.
- (iii) An archival security microfilm copy is a copy which is created, used, inspected and stored in conformance with standards for archival security microfilm.

STANDARDS FOR MICROFILMING MUNICIPAL RECORDS (Continued)

- (iv) The original camera film (Master Negative) of records scheduled for permanent retention shall never be used for reference purposes and should normally be designated as the archival security microfilm copy. Silver-gelatin duplicate negatives or silver-gelatin duplicate positives that meet appropriate standards may serve as the security copy if necessary. If the original camera film is to be jacketed or cut for aperture cards, an uncut duplicate roll of silver halide film that meets the appropriate standards for security film shall be made and designated as the official security copy. Records custodians employing systems that do not produce an original silver-gelatin microfilm which meets permanency standards shall make a silver-gelatin duplicate negative or silver-gelatin duplicate positive which does meet these standards.
- (f) **Film Stock, Processing and Quality Standards for Archival Security Microfilm Copies of Permanent Records**
- (i) **Film Stock**
- Safety Photographic film as specified in ANSI/NAPM IT9.1-1992 and ANSI/NAPM IT9.6-1991.
- (ii) **Density**
- Background densities of negative-appearing archival security microfilm copies shall, where possible, be between .9 and 1.2. In certain instances, some poor-contrast documents may require lower densities in order to make the entire image legible and reproducible as mentioned in ANSI/AIIM MS23-1997. Densities of raster COM microforms should be adequate and uniform; all information must be reproduced accurately and completely so that its use will not be impaired. Raster COM microforms must meet all appropriate density standards. Background density on positive appearing negative camera film shall not exceed 0.35. The density of silver duplicate positives designated as the security copy shall be between 0.04 and 0.20 where possible. Background density of Computer Output Silver Gelatin (1N) Microfilm (full reversal processing) shall, where possible, be between 1.5-1.8 (1.8 preferred).
- (iii) **Base-plus-Fog Density**
- The base-plus-fog density of unexposed, processed, clear-based film shall not exceed 0.10. When a tinted-base film is used, the density will increase by 0.10 or 0.20 which must be added to the 0.10 value. The use of tinted, high fog base films is not recommended.
- (iv) **Resolution**
- A minimum resolution of 90 lines per millimeter shall be obtained regardless of reduction ratio used or the type of camera used, and the 4.0 pattern shall be resolved. In cases where raster COM microforms are reproduced,

STANDARDS FOR MICROFILMING MUNICIPAL RECORDS (Continued)

measurement of resolution and quality of raster COM film is determined in dots per inch. Raster COM microforms must meet all appropriate resolution standards. A paper print made from the third generation microfilm copy should be able to serve the same purpose for which the original records were created.

(v) **Residual Thiosulfate**

Residual Thiosulfate ion concentration must be greater than zero but shall not exceed 0.014 grams per square meter in a clear area in accordance with ANSI/NAPM ITN9.1-1992.

(g) **Identification, Technical, and Declaratory Targets for Roll Microfilm.**

All roll microfilm shall include targets which adequately identify the records and targets needed to check for compliance with resolution requirements. A blank, white sheet of paper shall be photographed at the beginning of each roll to test the uniformity of the illumination and the cleanliness of the camera's optical system.

Resolution test targets shall be filmed near the beginning and end of each roll. Targets used shall be either the NIST SRM 1010A Microcopy Resolution Test Chart or an equivalent for planetary cameras such as the AIIM X303 test chart and the AIIM X112 (plastic target) or AIIM X113 (paper target) or their equivalents for rotary cameras. Do not use photostatic or electrostatic copies of resolution charts. Identification targets shall state the name of the municipality and office; name and title of the records custodian responsible for the records at the time of filming; reduction ratio; and record series title, dates, and such volumes or serial numbers needed to clearly identify the records. Each roll shall end with a declaration by the camera operator. The declaration shall include the operator's signature, date the declaration was filmed, and restatement of records filmed. **Retakes and retake targets should normally be spliced onto the beginning of the roll in which the errors occurred, preceding the start target. The use of intelligent/blip encoded microfilm may necessitate the use of different retake procedures.**

Filming sequence should be:

- 1) blank white sheet of paper
- 2) start target
- 3) roll number target
- 4) resolution test target
- 5) reduction ratio target
- 6) agency and record series identification target (s)
- 7) if applicable, "continued from preceding roll" target---instances where volume is filmed on more than one roll
- 8) the text
- 9) if end of book, film "end of volume" target-if not end of volume, but end of roll coming, film "continued on next roll" target
- 10) if end of roll, film the declaration by the camera operator, the resolution target, and the "end of roll" target

STANDARDS FOR MICROFILMING MUNICIPAL RECORDS (Continued)

- 11) raster COM microforms should also contain a target stating the name of the conversion vendor; and a target indicating the dots per inch (dpi) at which the conversion was done, in addition to proper identification targets (no resolution or scanner target should be overlaid on the microform)

(h) Splices

Splicing of archival security microfilm rolls should be avoided, but if splicing is necessary, care should be taken to keep the number of splices to a maximum four per roll. Ultrasonic splicing meets standards for polyester base film.

(i) Quality Control Practices and Procedures

- (i) Procedures to be followed in establishing and operating a microfilm program should conform to appropriate recommendations contained in ANSI/AIIM MS23-1997 Practice for Operational Procedures/Inspection and Quality Control of First-generation, Silver Microfilm of Documents. Each camera negative shall be checked for proper identification targets, density, resolution and visual defects.
- (ii) The ability of archival security microfilm copies of permanent records to serve as a substitute for the original records shall be adequately confirmed and documented. Quality control logs for such film shall be maintained to document adherence to standards. At a minimum, such logs should verify the following:
 - A. The images are legible and can serve the purposes for which the original records were created or maintained.
 - B. Roll film contains all required identification, technical and declaratory targets.
 - C. Density readings were taken on a blank white sheet of paper at the beginning of the roll, and, at a minimum, on the background of document images at the beginning, middle, and end of each roll.
 - D. A Base-plus-Fog Density Reading (Dmin) for each roll.
 - E. The number of the pattern resolved from a reading of the resolution test chart and the reduction ratio on each roll.
 - F. Methylene Blue tests are being done on a regular basis. Testing should be done by an outside laboratory at a minimum on a monthly basis. Appropriate sample strips must be inspected within fourteen days after processing. Certificates from the laboratory, documenting that the microfilm passed the methylene blue test, should be maintained along with the logs. The certificates should include the name of the agency whose film was processed, processing date, date of methylene blue test, test results, processor used and the signature of the person who did the test.

STANDARDS FOR MICROFILMING MUNICIPAL RECORDS (Continued)

(j) Formats and Headings for Unitized Microfilm Systems (aperture cards, microfiche and jacketed film)

Unitized microfilm systems records should be designed and administered so that the resulting microfilm file is an accurate representation of the original records. Any indexes, registers, or other finding aids should be microfilmed and located in a readily identifiable place within the collection of microfilmed records. Formats for microfiche should conform to ANSI/AIIM MS5-1992. The data on heading or title areas on all microforms should be legible without magnification. The data should conform to ANSI/AIIM MS19-1993.

(k) Computer Output Silver Gelatin (1N) Microfilm Procedures

COM programs should conform to standards set down in ANSI/AIIM MS1-1996. Density of Computer-Output Microfilm should be between 1.5 and 1.8 (Full Reversal).

(l) Storage Condition for Archival Security Microfilm Copies of Permanent Records

The security copy shall be stored and inspected in conformance with ANSI/NAPM IT9.11-1993, ANSI/NAPM IT9.2-1991 and ANSI/AIIM MS45-1990.

- (i)** **Maximum** temperature shall not exceed 21 degrees Celsius (69.8 degrees Fahrenheit) with a variation of no more than 3 degrees Celsius (5 degrees Fahrenheit) within a 24-hour period.
- (ii)** Relative humidity of 20 percent to 30 percent. Cycling of relative humidity shall be no greater than plus or minus 5 percent over a 24-hour period.
- (iii)** Air-conditioning with filtration system shall be utilized to remove gaseous impurities.
- (iv)** Facility shall provide protection from fire, theft and natural disaster.
- (v)** The security microfilm copy shall be maintained in a separate building from the user copy.
- (vi)** Film shall be stored in closed containers made of an inert material such as plastic, acid-free paper, or nonferrous metals. Cores or reels shall be noncorroding such as plastic compounds or nonferrous metals. Rubber bands shall not be used to fasten film onto reels or cores.
- (vii)** Security copy shall not be stored with non-silver film.
- (viii)** As appropriate, a sampling of randomly selected microforms shall be inspected in conformance with ANSI/AIIM MS45-1990. For each inspection period, a different lot shall be chosen allowing some overlap to note changes in previously inspected film.

STANDARDS FOR MICROFILMING MUNICIPAL RECORDS (Continued)

(m) Security Copies of Vital and Long-Term Records

Security microfilm copy of long-term records shall be created and stored in conformance with standards for archival security microfilm copies of permanent records. The following sections are applicable to long-term records: Sections (d); (e); (f); (g); (h); Section (i), subsection (i); and Sections (j); (k); and (l). Long-term records are any records that need to be maintained for more than ten years either in the original or microfilm copy. Security microfilm copies of vital records should be stored where appropriate in conformance with standards for long-term and permanent records. All security microfilm copies of vital records, regardless of retention periods, should be stored in a separate building from the user copy.

(n) Short-Term Records

Short-term records are defined as records that require retention for ten years or less as indicated in the Municipal Records Manual. Silver halide or other films are acceptable as the camera film. Film shall be processed in accordance with applicable ANSI/AIIM standards for their particular film types. The following sections are applicable to short-term records: Section (d); Section (f), subsections (ii), (iii), (iv); Section (g); and Section (i), subsection (i).

(o) Reference Copies of Microforms

The standards relating to the film stock, processing, use, and storage of archival security microfilm copies of permanent records do not apply to reference, user, or additional duplicate copies. These copies may be on film types other than silver-halide, safety base film and should be processed in accordance with applicable ANSI/AIIM standards for their particular film types.

For additional information, contact:

**Pennsylvania Historical and Museum Commission
Division of Archival and Records Management Services
PA State Archives Building
350 North Street
Harrisburg, PA 17120-0090**

(717) 783-9874 or (717) 787-3913

UTILIZING THE MICROFILM QUALITY INSPECTION REPORT FORM
(MCIR-1)

Municipality:

Fill in the name of the municipality.

Office/Department:

Office should correspond to the highest organizational units within a municipality. This would normally correspond to the traditional offices.

Series:

Title of records being filmed. If more than one series per roll, list all titles.

Inspected:

If inspected by municipal personnel, check the "Inhouse" box. If performed by outside vendor, check "Service Bureau" box and fill in vendor's name and address.

Roll Number:

Your roll number.

Reduction Ratio:

Linear ratio of the size of the original document to the size of the microfilm image---expressed as 1:24 or 24x, etc.

Resolution:

The ability of a camera or film to record fine detail. Utilizing a microscope with a resolving power 60x to 120x, record the number of the pattern resolved (it is not necessary to determine lines per millimeter) using an acceptable resolution test chart as per ANSI/AIIM MS23-1991.

Density:

The light-absorbing or light-reflecting characteristics of a photographic image. Density readings should be taken on a blank white sheet of paper at the beginning of the roll, and, at a minimum, on the background of document images at the beginning, middle, and end of each roll.

Base + Fog Density:

The density of unexposed film which has been processed. A Base-plus-Fog Density reading should be taken on every roll of film. The reading should be taken in the clear area between two frames of a processed roll of film or in the clear area of the leader.

Date Filmed:

Use the date on the Declaration by the Camera Operator.

Scratches, Blurred Pages - Other:

A general technical inspection should assure that the film is free of these elements. These and other problems are listed in ANSI/AIIM MS23-1991.

Comments:

This section should be used to identify other problems with the film and part of the section could even be used to further identify the contents of the roll if needed.

UTILIZING THE MICROFILM QUALITY INSPECTION REPORT FORM
(MCIR-1)

Legibility:

Mark either "S" for satisfactory or "U" for unsatisfactory. Microimages should contain all of the recorded information shown on the originals and must be able to serve the purposes for which the original records were created or maintained. Microfilm images should be free of obstructions, shadows or glare which could further impair the legibility of the document. Obviously, unsatisfactory rolls are unacceptable and must be refiled.

Targets:

Mark "S" for satisfactory or "U" for unsatisfactory. Roll must contain all the recommended information, technical, and certification targets to be rated satisfactory.

Inspector's Initials:

Person responsible for quality check of the film (Municipal or Vendor) should initial here. If part of inspection is performed in-house and part by vendor, both employees should initial here.

Methylene Blue Testing:

The most commonly used method to test whether processed silver microfilm has been properly washed is to make a chemical test for residual thiosulfate ion called the Methylene Blue Test. If a methylene blue test has been done for this series, attach copy of test certification. Methylene blue testing should be done on a regular basis by processing vendor or municipal microfilm department.

For additional information contact:

Pennsylvania Historical and Museum Commission
Division of Archival and Records Management Services
PA State Archives Building
350 North Street
Harrisburg, PA 17120-0090

(717) 783-9874 or 787-3913

8. **POLICY AND GUIDELINES FOR THE RETENTION AND DISPOSITION OF ORIGINAL MUNICIPAL RECORDS COPIED ONTO OPTICAL IMAGING AND DATA STORAGE SYSTEMS**

(a) Purpose

Establish and clarify a records management policy for municipal officers with respect to the retention and ultimate disposition of original records copied onto optical imaging and data storage systems and to records stored on optical disks in order to enable officers to incorporate information retention and retrieval considerations at the earliest possible time into their plans to acquire optical imaging and data storage systems.

(b) Objectives

- (i)** To integrate records maintained on optical disks into municipal records management programs.
- (ii)** To provide information needed by municipal officers to properly evaluate the effect of optical imaging and data storage systems on their operations.
- (iii)** To ensure that information stored on optical imaging and data storage systems will be accessible in conformance with records retention and disposition schedules and procedures approved by the Local Government Records Committee.
- (iv)** To reduce the risks associated with optical imaging and data storage system hardware and software obsolescence.

(c) Scope

Applies to all municipal officers covered by the Municipal Records Act.

(d) Policy

- (i)** Records relating to optical imaging and data storage systems, including systems documentation, may be disposed of only in accordance with schedules approved by the Local Government Records Committee.
- (ii)** Permanent records are those records which have been scheduled for permanent retention either in the original or microform copy by the Local Government Records Committee or by applicable statute and regulation. Long-term records are any records that need to be retained for more than ten years either in the original or microfilm copy.
- (iii)** Municipal officers are responsible for making provisions to retain either the original copies of permanently valuable records or making archival security microform copies to serve as a substitute. Archival security microform

OPTICAL IMAGING GUIDELINES (Continued)

copies must be created and maintained in conformance with applicable standards approved by the Local Government Records Committee.

- (iv) In those instances where the optical disk is the original medium for records scheduled for permanent retention, such as the procedural or transactional recording of deeds, provisions must be made to retain paper copies of such records or to create archival security microfilm copies of the records. The preferred strategy for ensuring the creation of an archival security microfilm copy would require the retention of the original instrument or a paper copy made from the original instrument, until the film copy has been verified. The use of raster computer output microfilm meeting appropriate standards is acceptable as the security copy (see ANSI/AIIM MS48).
- (v) With certain exceptions, municipal officers will not have to make provisions to retain non-permanent records copied onto optical disks in a human-readable format. There are situations which, due to the unusually vital nature of the records or their relatively long retention period, will make it necessary to require the retention of a human-readable copy.

(e) Optical Imaging and Data Storage Guidelines

- (i) A municipal officer who purchases and operates an optical imaging and data storage system must provide for **the usability of image and index data** over time by:

A. Management

In order to maintain access to digital information stored on optical media, a municipal officer must ensure that:

- (1) All information retention requirements and procedures established by the Local Government Records Committee are addressed during the system planning.
- (2) Where possible, systems should be built from hardware and software components that conform to non-proprietary and/or commonly accepted standards, and
- (3) Vendors should deposit a copy of computer source code and associated documentation with the municipality for use in the event of the vendor's business failure.

B. Preservation Strategy

To ensure that records stored on optical media are preserved, a municipal officer must:

OPTICAL IMAGING GUIDELINES (Continued)

- (1) Maintain proper care and handling procedures for optical media by keeping a clean, dust-free environment for all equipment and prohibit eating, drinking or smoking in the area.

C. Migration Strategy

To ensure access to long-term records, a municipal officer must provide a means to:

- (1) Upgrade equipment as technology evolves and periodically recopy optical media as required, or
- (2) Recopy optical media (based upon projected longevity of the optical disk) every ten years, or
- (3) Transfer data from an obsolete generation of optical technology to a newly emerging generation, in some cases bypassing the generation that is mature, but at risk of becoming obsolete.

D. Image File Headers

The use of proprietary image file headers will make it difficult to ensure the long-term intelligibility of digital images when system upgrades or modifications occur, therefore a municipal officer must:

- (1) Require use of a non-proprietary image file header label, or
- (2) Require the system developer to provide a bridge to a non-proprietary image file header label, or
- (3) Require the system developer to supply a detailed definition of image file header label structure

E. Error Detection and Correction

The ability to predict the point at which optical media is no longer readable is critical so that media recopying can take place. A municipal officer must:

- (1) Specify that the SCSI (Small Computer System Interface - the primary communications interface used in optical systems) command "Write and Verify" is used when writing data to optical media.
- (2) Acquire a utility program that monitors the amount of disk space used to relocate data sectors as errors are detected, and

OPTICAL IMAGING GUIDELINES (Continued)

- (3) Ensure through systems operations procedures that current readability is maintained through periodic copying when the relocation table reaches 70% capacity.
- (ii) Municipal officers must protect **the quality of digital images and data captured and stored by an optical imaging and data storage system** by providing for:

A. Input Quality Control

Regular equipment maintenance is a necessary process control procedure under which optical imaging and data storage systems should operate. A municipal officer must:

- (1) Ensure that the optical system receives periodic maintenance,
- (2) Ensure that the optical drives are recalibrated annually or more frequently based upon an "hours in use" formula,
- (3) Ensure that quality control evaluation of each scanned image and related index data is performed prior to writing image data to optical media,
- (4) Evaluate the scanner quality based on standard procedures recommended in ANSI/AIIM MS44-1988 (R1993), **Recommended Practice for Quality Control of Image Scanners** (ANSI - American National Standards Institute). ANSI is composed of representatives from industry, technical societies, consumer organizations and government agencies. AIIM-Association for Information and Image Management (formerly National Micrographics Association - NMA).

B. Scanning Density

Scanning density is vital to ensure image legibility. A municipal officer must:

- (1) Employ a scanning density of 200 dots per inch (dpi) for office documents that contain no type fonts smaller than six (6) point,
- (2) Employ a higher scanning density (300 dpi or 600 dpi) as needed for engineering drawings, maps, and documents with type fonts smaller than six (6) point or significant background detail, and
- (3) Validate the selected scanning density with actual document tests.

OPTICAL IMAGING GUIDELINES (Continued)

C. Scanner Color Spectrum

Because some digital scanners may not capture the full color spectrum - especially yellow and sepia tones - it is possible to lose significant detail in scanning a document containing certain colors. Therefore, before launching a document conversion project a municipal officer must:

- (1) Verify scanner capability and hardware modification requirements by conducting a test of selected documents.

D. Gray Scale

Use of the scale is necessary when scanning continuous tone photographs. A low scanning density is used in this process, which would reduce the quality of other images scanned. Except in circumstances where the characteristics of the original document (i.e., shading, color) are beyond the receiving office's control, a municipal officer must:

- (1) Restrict the use of the gray scale to continuous tone photographs except in those instances where the use of the gray scale promotes readability of text documents.

E. Image Input Quality

At this time, there are no objective, empirical indicators of acceptable image quality for digitally scanned images. Therefore, a municipal officer must:

- (1) Select sample documents based upon levels of legibility (poor to excellent), organize a panel within the office to establish consensus on what settings produce the "best" image for different categories of documents, and use the settings as the operational criteria for acceptable image quality.

F. Compression Techniques

There are two broad categories of compression techniques - proprietary and standard. Proprietary compression techniques tend to be fast and offer higher compression capabilities but the stored images might not be transportable between different systems. Standardized compression techniques, although they may not be as powerful, support image data transfer between systems that otherwise might be incompatible. There are two international standard compression techniques currently available - CCITT Group 3 and Group 4. Therefore, a municipal officer must:

OPTICAL IMAGING GUIDELINES (Continued)

- (1) Require that digital imaging and data storage systems support the prevailing CCITT standards, but
 - (2) If a proprietary compression technique is unavoidable, require the vendor to specify compression/decompression algorithms that ensure that no information is "lost" during the transmission.
- (iii) Municipal officers must provide for the **continuing functionality of system components** over time by:

A. Open Systems

Open systems architecture is defined as a systems design approach that permits users to interchange system hardware components with minimal impact on the primary operating software and to upgrade the system over time without risk of data loss. A municipal officer must:

- (1) Require an open systems architecture for new optical media applications, or
- (2) Require vendors to provide a bridge to systems with non-proprietary configurations.

B. Backward Compatibility

Obsolescence of the technology is a major consideration of any imaging or data storage system design. Its impact can be minimized by requiring a backward compatibility - that the optical imaging and data storage system is able to read and convert information written by an older generation of technology to a newer one. Therefore, a municipal officer must:

- (1) Require system upgrades or new systems to provide backward compatibility to the existing system, or
- (2) When necessary, require vendors to guarantee conversion of 100 percent of extant image and index data to the new system if such a system cannot provide hardware compatibility.

C. Small Computer System Interface

The Small Computer System Interface (SCSI) is the communications interface used in many optical media systems. It is the primary mechanism that enables drives and other peripheral devices from different manufacturers to communicate with each other. However, since differences between interface standards restrict compatibility, a municipal officer must:

OPTICAL IMAGING GUIDELINES (Continued)

- (1) Require system manufacturers and integrators to provide complete documentation about the specific hardware and software SCSI interface used.

D. Location of Index Database

To ensure that the index information will not be lost, a municipal officer must:

- (1) For processing purposes, store index data on the system's mass storage device (i.e., hard drive), or
- (2) For fail-safe indexing, write index data for each optical disk at multiple locations on that disk.

E. Technical Documentation

To ensure that all technical information will be available, a municipal officer must:

- (1) Require delivery of a complete set of documentation (including source code, object code, and maintenance documentation) to the organization responsible for operation of an optical media application system, and
- (2) Document all aspects of the design and use, including administrative procedures for digital imaging, retrieval, and storage; technical system specifications; problems encountered over time; and measures taken to address them, including hardware and software modifications.

- (iv) Municipal officers must provide for **the stability of optical media** by:

A. Recording Performance

Write once, read many times (WORM) and rewritable optical media recording technologies each offer advantages and disadvantages. The selection of WORM or rewritable recording must be linked to the user's application requirements, available resources, and the level of standardization achieved by the optical media technologies. It is possible that accidental or intentional erasure of data stored on rewritable media could occur and this must be taken into account, particularly when the records have substantial legal, financial, or other long-term value. A municipal officer must:

- (1) Require the use of WORM technology for records of long-term legal, financial or archival research value, and

OPTICAL IMAGING GUIDELINES (Continued)

- (2) ensure that read/write privileges are carefully controlled and that an audit trail of rewrites is maintained when rewritable technology is used.

B. Disk Substrate Composition

Optical disks are manufactured from a variety of materials. Each substrate offers advantages and disadvantages. Since all three types are likely to outlast the hardware and software components of the full system when they are properly stored, municipal officers may:

- (1) Use polycarbonate, tempered glass or aluminum substrates.

C. Jukebox System

A jukebox storage system is not appropriate when simultaneous, on-line access to information is required. Neither is a jukebox storage system required when the access delays and risks inherent in the manual selection, insertion, and refiling of optical disks are acceptable to managers and users. Where it is important to maintain physical control of optical disks during use, a jukebox storage system may be appropriate. Therefore, a municipal officer should use a jukebox only:

- (1) When rapid access or physical control of numerous optical disks is required, or
- (2) When a large volume of records is to be stored, or
- (3) When multiple users or networking to various offices may dictate its use.

D. Durability

Durability is defined as the shelf life before writing plus the post-write life of the optical disk. To ensure maximum usability, the municipal officer must:

- (1) Require the acquisition and use of optical media with a pre-write shelf life of at least five years, and
- (2) Require the use of optical media with a minimum post-write life of twenty years based upon accelerated aging tests that apply to specific locations of the media surface.

OPTICAL IMAGING GUIDELINES (Continued)

E. Storage Environment

Optical media should be stored in a protected environment. Therefore, a municipal officer must:

- (1) Store optical media in areas with stable room temperatures (65 to 75 degrees Fahrenheit) where the relative humidity does not exceed 50 percent and does not fall below 30 percent.
- (2) Not locate optical systems near areas of electromagnetic radiation, such as transformers, or areas of high radio frequency radiation,
- (3) Periodically clean optical media to remove dust and other particulates (e.g., fingerprints if media are handled).

For additional information, contact:

**Pennsylvania Historical and Museum Commission
Division of Archival and Records Management Services
PA State Archives Building
350 North Street
Harrisburg, PA 17120-0090**

(717) 783-9874 or (717) 787-3913

Officers may wish to contact AIIM for the most recent edition of Technical Report - TR25 The Use of Optical Disks for Public Records and other applicable standards:

**Association for Information and Image Management
1100 Wayne Avenue, Suite 1100
Silver Spring, MD 20910**

(301) 587-8202

9. STANDARDS AND PROCEDURES FOR ELECTRONIC RECORDS

(a) **Authority**

These standards and procedures were adopted by the Local Government Records Committee in accordance with the Municipal Records Act.

(b) **Purpose**

The standards and procedures are designed to help ensure the accuracy, usability, longevity, and legal acceptance of electronic records generated by municipal offices.

(c) **Scope**

These standards and procedures establish the basic requirements relating to the creation, maintenance, use and disposition of electronic records. Electronic records include numeric, graphic, and text information which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record as defined in the Municipal Records Act. This includes, but is not limited to: magnetic media such as computer tapes, disks, diskettes and other electronic storage devices containing records. These requirements apply to all electronic records systems, whether microcomputers, minicomputers or main-frame computers, in network or stand-alone configurations. The guidelines apply to all municipal officers covered by the Municipal Records Act. Policy and guidelines for the retention and disposition of municipal records copied onto optical imaging systems and stored on optical disks are not included in this chapter but are covered under the Policy and Guidelines for the Retention and Disposition of Original Municipal Records Copied Onto Optical Imaging Systems...

(d) **Responsibilities of Municipal Officers**

Municipal officers shall ensure that the management of electronic records incorporates the following elements:

- (i) Assigning responsibility to develop and implement a program for records created, received, maintained, used, or stored on electronic media.
- (ii) Integrating the management of electronic records with other records and information resources of the municipality and incorporating electronic records management responsibilities into any pertinent municipal policies or directives.
- (iii) Establishing procedures for addressing records management requirements, including record disposition schedules promulgated by the Local Government Records Committee, before approving new electronic records systems or enhancements to existing systems.

ELECTRONIC RECORDS STANDARDS (Continued)

- (iv) Ensuring that adequate training is provided for users of electronic records systems in the operation, care and handling of the equipment and software.
 - (v) Developing and maintaining adequate and up-to-date documentation about each electronic records system. Documentation should: list system title and responsible municipal office; specify all technical characteristics necessary for reading or processing the records; identify all defined inputs and outputs of the system; define the contents of the system, including record formats and data base tables; identify vital records and information; determine restrictions on access and use; describe update cycles or conditions and rules for adding information to the system, changing information in it or deleting information; and facilitate the timely, authorized disposition of the records in accordance with the Municipal Records Manual.
 - (vi) Specifying the location, manner, and media in which electronic records will be maintained to meet operational and archival requirements, and maintaining inventories of electronic records systems to facilitate disposition.
 - (vii) Ensuring that compliance with municipal electronic records procedures are applied to municipal electronic records created or maintained by contractors.
 - (viii) Reviewing electronic systems periodically for conformance to procedures described in the Municipal Records Manual to ensure that record descriptions and retention periods reflect changes as the Municipal Records Manual is updated.
- (e) **Procedures**
- (i) **Creation and Use of Data Files**
 - A. For electronic records systems that produce, use, or store data files, disposition instructions for the data shall be incorporated into a systems design and updated as necessary.
 - B. Municipal offices shall maintain proper, up-to-date technical documentation for each electronic records system that produces, uses, or stores data files. Minimum documentation required is a narrative description of the system; physical and technical characteristics of the records, including a record layout that describes each field including its name, size, starting or relative position and a description of the form of the data (such as alphabetic, zoned decimal, packed decimal or numeric); or a data dictionary or the equivalent information associated with a data base management system including a description of the relations between data elements in data bases; and any other technical information needed to read or process the records.

ELECTRONIC RECORDS STANDARDS (Continued)

(ii) Creation and Use of Text Documents

Electronic records systems that maintain the official file copy of text documents on electronic media shall meet the following minimum requirements:

- A.** Provide a method for all authorized users of the system to retrieve desired documents, such as an indexing or text search system.
- B.** Provide an appropriate level of security to ensure integrity of the documents.
- C.** Provide a standard interchange format when necessary to permit the exchange of documents on electronic media using different software/operating systems and allow for the conversion or migration of documents on electronic media from one system to another.
- D.** Provide for the disposition of the documents including, when necessary, transferring records to the State Archives.
- E.** Before a document is created and maintained on electronic records systems, documents shall be identified sufficiently to enable authorized personnel to retrieve, protect and carry out the disposition of documents in the system. Appropriate identifying information for each document maintained on the electronic media may include: office of origin, file code, key words for retrieval, addressee (if any), signature, author, date, authorized disposition (coded or otherwise), and security classification (if applicable). Municipal officers should ensure that records maintained in such systems can be correlated with related records on paper, microform, or other media.

(f) Legal Admissibility of Electronic Records

To enhance legal admissibility of records in an electronic format and help ensure municipal records may be used as evidence in court proceedings, trustworthiness must be established by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it. To implement procedures to enhance the legal admissibility of electronic records, municipal officers should:

- (i)** Document that similar kinds of records generated and stored electronically are created by the same processes each time and have a standardized retrieval approach.
- (ii)** Substantiate that security procedures prevent unauthorized addition, modification, or deletion of a record and ensure system protection against such problems as power interruptions.

ELECTRONIC RECORDS STANDARDS (Continued)

- (iii) Identify the electronic media on which records are stored throughout their life cycle and the maximum time span that records must remain on each storage medium in order to comply with minimum retention periods as cited in the Municipal Records Manual.
- (iv) Coordinate all of the above with legal counsel, information managers, and records management staff.

(g) Security of Electronic Records

Municipal officers shall implement and maintain an effective records security program that incorporates the following to:

- (i) Ensure that only authorized personnel have access to electronic records.
- (ii) Provide for backup and recovery of records to protect against information loss.
- (iii) Ensure that municipal personnel are trained to safeguard sensitive or classified electronic information.
- (iv) Minimize the risk of unauthorized alteration or erasure of electronic records.
- (v) Ensure that electronic record security is included in a computer systems security plan.

(h) Selection and Maintenance of Electronic Records Storage Media

Municipal officers shall select appropriate media and systems for storing records throughout their life which meet the following requirements:

- (i) Specific Requirements in selecting storage media
 - A. Permit easy retrieval in a timely fashion.
 - B. Facilitate the distinction between records and non-records as defined in the Municipal Records Act.
 - C. Retain the records in a usable format for the length of their required retention period.
 - D. When appropriate, meet requirements for transferring electronic records to the State Archives.
- (ii) The following factors shall be considered before selecting a storage media or when converting from one medium to another:
 - A. The required retention period of the records.

ELECTRONIC RECORDS STANDARDS (Continued)

- B.** The maintenance necessary to retain the records in that format.
 - C.** The costs of storing and retrieving the records stored in that format.
 - D.** The density of the record.
 - E.** The access time necessary to retrieve stored records.
 - F.** The portability of the medium (selecting a medium that will run on equipment produced by multiple manufacturers) and the ability to transfer information from one medium to another as well as the flexibility of the software to be migrated into a different medium if desirable or necessary.
 - G.** Compliance of the storage medium with current industry and/or Federal standards if applicable.
- (iii)** Municipal officers shall avoid the use of floppy disks for the exclusive long-term storage of permanent electronic records.
 - (iv)** Municipal officers shall ensure that all authorized users can identify and retrieve information stored on removable disks or tapes by establishing or by adopting procedures for external labeling as well as procedures for computer tape library subsystems for storage media identification.
 - (v)** Municipal officers shall ensure that information is not lost because of changing technology or deterioration by converting storage media to provide compatibility with the municipality's current hardware and software. Before conversion to a different medium, municipal officers shall determine that the authorized dispositions of the electronic records can be implemented after conversion.
 - (vi)** Municipal officers should back up electronic records on a regular basis to safeguard against the loss of information due to equipment malfunctions or human error. Duplicate copies of permanent records should be maintained in separate buildings. All security copies of vital electronic records, regardless of retention period, should be stored in a separate building.
 - (vii)** For the maintenance of magnetic computer medium, municipal officers shall follow industry and national standards for safeguarding information.
 - (viii)** Maintenance of magnetic computer tape containing permanent records.
 - A.** Municipal officers shall provide for the testing of magnetic computer tapes no more than six months prior to using them to store electronic records that are scheduled for permanent retention. This test should

ELECTRONIC RECORDS STANDARDS (Continued)

verify that the tape is free of permanent errors and in compliance with National Institute of Standards and Technology or industry standards.

- B.** Municipal officers shall maintain the storage and test areas for computer magnetic tapes containing permanent records at the following temperature and relative humidities:

Constant temperature - 62 to 68 degrees Fahrenheit.

Constant relative humidity - 35 to 45 percent.

- C.** Municipal officers should rewind according to tape specifications all tapes containing permanent records every 3-1/2 years.
- D.** Municipal officers shall annually read a statistical sample of all reels or cartridges of magnetic computer tape containing permanent records to identify any loss of data and to discover and correct the causes of data loss. In magnetic medium storage libraries with 1,800 or fewer reels/cartridges, a 20 percent sample or a sample size of 50 reels/cartridges, whichever is larger, should be read. In magnetic medium libraries with more than 1,800 reels/cartridges, a sample of 384 reels/cartridges should be read. Tapes with 10 or more errors shall be replaced and, when possible, lost data shall be restored. All other tapes which might have been affected by the same cause (i.e., poor quality tape, high usage, poor environment, improper handling) shall be read and corrected as appropriate.
- E.** Municipal officers shall copy permanent data stored on magnetic tapes before the tapes are 10 years old, onto tested and verified new tapes.
- F.** Municipal officers shall ensure that external labels (or the equivalent automated tape management system) for magnetic tapes used to store permanent electronic records shall provide unique identification of each reel/cartridge, including the name of the office responsible for the data, system title, and security classification, if applicable. Additionally, the following information shall be maintained for (but not necessarily attached to) each reel/cartridge used to store permanent electronic records: file title(s); dates of creation; dates of coverage; the recording density; type of internal labels; volume serial number, if applicable; number of tracks; character code/software dependency; information about block size; and reel/cartridge sequence number, if the file is part of a multi-reel/cartridge set. For numeric data files, include record format and logical record length, if applicable; data set name(s) and sequence, if applicable; and number of record for each data set.

ELECTRONIC RECORDS STANDARDS (Continued)

G. Municipal officers shall maintain proper care and handling procedures for electronic media by keeping a clean, dust-free environment for all equipment and prohibit eating, drinking or smoking in magnetic computer medium storage libraries and test or evaluation areas that contain permanent records.

(ix) Maintenance of direct access storage media

A. Municipal officers shall issue written procedures which draw upon the recommendations of the manufacturers for the care and handling of direct access storage media.

B. Municipal officers shall ensure that external labels for diskettes or removable disks used when processing or temporarily storing permanent records shall include the following information: name of the office responsible for the records; descriptive title of the contents; dates of creation; security classification, if applicable; and identification of the software and hardware used.

(i) **Retention of Electronic Records**

Municipal officers shall establish policies and procedures to ensure that electronic records and their documentation are retained for the length of their required retention period. The retention procedures shall include:

(i) Scheduling the disposition of electronic records, as well as related documentation and indexes in accordance with the Municipal Records Manual.

(ii) Transferring a copy of the electronic records and any related documentation and indexes to the State Archives if specified in the Municipal Records Manual. (Contact the State Archives for instructions as to necessary requirements.)

(iii) Establishing procedures for regular recopying, reformatting, and other necessary maintenance to ensure the retention and usability of electronic records throughout their required retention period.

(j) **Destruction of Public Records on Electronic Media**

Electronic records may be destroyed in compliance with the Municipal Records Manual. Electronic records scheduled for destruction should be disposed of in a way that ensures protection of any sensitive, proprietary, or security information. Magnetic recording media previously used for electronic records including sensitive, proprietary, or security information are not to be recycled if the previously recorded information can be compromised by reuse in any way.

ELECTRONIC RECORDS STANDARDS (Continued)

For additional information, contact:

**Pennsylvania Historical and Museum Commission
Division of Archival and Records Management Services
PA State Archives Building
350 North Street
Harrisburg, PA 17120-0090**

(717) 783-9874 or (717) 787-3913

SUBJECT: The Retention and Disposition of Records Created on Electronic Mail (E-Mail) Systems

1. PURPOSE:

Establish and clarify records management policy for local governments with respect to the retention and disposition of records created on electronic mail (e-mail) systems.

2. SCOPE:

Applies to local governments subject to the Municipal Records Act.

3. OBJECTIVES:

- a. Integrate records on e-mail systems into the Municipal Records Schedule issued by the Local Government Records Committee.
- b. Provide information needed by local governments to determine properly the disposition of records created on e-mail systems.
- c. Ensure that records created on e-mail systems will be accessible in conformance with records retention and disposition schedules and procedures approved by the Local Government Records Committee.

4. DEFINITIONS:

- a. **Electronic** – Relating to technology having electrical, digital, magnetic, wireless, optical, electromagnetic or similar capabilities.
- b. **Electronic Record** – A record created, generated, sent, communicated, received, or stored by electronic means.
- c. **Electronic Mail (e-mail) System** – A system that enables users to compose, transmit, receive and manage text and/or graphic electronic messages and images across local area networks and through gateways connecting other networks. This information consists primarily of messages, but may include attachments such as calendars, directories, distribution lists, word processing documents, spreadsheets, and other electronic documents.
- d. **Receipt Data** – Information in e-mail systems regarding date and time of receipt of a message, and/or acknowledgment of receipt or access by addressee(s).
- e. **Record** – Any recorded information, regardless of physical form or characteristics, that documents a transaction or activity that is created, received or retained in pursuance of law or in connection with the transaction of official business.
- f. **Record-keeping System** – A system (manual or electronic) for organizing and identifying records to speed their retrieval, use and disposition and to provide adequate documentation of the local government's functions and business transactions.

- g. **Record Series** – A group of records that may be treated as a unit for purposes of classification, designation, description, management, or disposition because they relate to a particular subject or function, result from the same activity, have a particular physical form, or because of some other relationship arising out of their creation, receipt, or use.
- h. **Records Retention and Disposition Schedule** - A comprehensive statement approved by the applicable approving authority showing retention periods and all actions to be taken with respect to the disposition of records.
- i. **Transmission Data** – Information in e-mail systems regarding the identities of sender and addressee(s), and the date and time messages were sent.

5. **POLICY:**

- a. E-mail messages and attachments that meet the definition of records shall be disposed of in accordance with applicable law and records retention and disposition schedules approved by the Local Government Records Committee. E-mail messages and attachments that do not meet the definition of records should be deleted immediately.
- b. E-mail messages, in and of themselves, are not a single record series. Retention and disposition of e-mail messages depends on the function and content of the individual message.
- c. Records created in e-mail systems must be retrievable and available for the retention period listed on a records retention schedule approved by the Local Government Records Committee.
- d. Records may be deleted from an e-mail system if their required retention period has expired or after they have been copied to a record-keeping system. Records may be maintained on a manual or electronic record-keeping system. Records shall include transmission or receipt data.
- e. When duplicate copies of e-mail messages are sent internally, the sender should be responsible for maintaining the primary copy for the full applicable retention period. All other copies should be disposed of in accordance with approved records retention schedules relating to transitory messages.

6. **RESPONSIBILITIES :**

If local governments maintain e-mail systems to transact government business:

- a. Local governments shall retain and dispose of records created in e-mail systems in accordance with the procedures in this policy.
- b. Local governments shall ensure that employees are familiar with and comply with the requirements for creation, maintenance, and disposition of records in e-mail systems.

7. PROCEDURES:

- a. Local governments shall establish standards/procedures to manage the storage of records on e-mail and shall not rely on e-mail server backup procedures to manage the retention and disposition of records created in e-mail systems.
- b. E-mail messages shall be systematically filed for retrieval following standardized filing rules within the local government. E-mail messages shall be indexed in an organized and consistent pattern, and reflect the way the files will be used and referenced.
- c. Local governments that do not have the technical capability to manage e-mail messages for the full retention period in an electronic format shall create an analog copy (paper or microfilm). Local governments with computer systems capable of maintaining e-mail messages in an electronic format for the required retention period may also decide that current requirements are best served by printing electronic messages to paper or microfilm. In addition to the content, the following information shall be retained about each message: name of sender, name of recipient, date and time of transmission and/or receipt. Records printed from e-mail systems shall be filed in accordance with standard office procedures.
- d. All records, whether stored in paper or similar format or in an electronic records system, must be retrievable and available for the retention period listed on a records retention and disposition schedule approved by the Local Government Records Committee.
- e. E-mail messages eligible for destruction shall be disposed of in a manner that ensures protection of any sensitive, proprietary or confidential information.

CHAPTER TWO

ADMINISTRATIVE AND LEGAL RECORDS

Chapter Two should only be used in conjunction with all other relevant chapters of this schedule.

1. Administrative and Subject Files

Often referred to as Administrative Files, General Correspondence, Program Files or Subject Files. May include correspondence, reports, program forms and other records created or received in the course of administering specific programs and providing basic municipal services. Portions of the file or the complete file may contain records which summarize primary program activities and functions such as annual departmental/office reports, procedural manuals, long-term studies or comprehensive program assessment studies, series of bulletins/newsletters and other published materials created in connection with special events or the administration of on-going programs, and correspondence documenting agency policy. Such files may also include or consist primarily of routine correspondence; replies not part of a specific case file; communications on supply, maintenance and other internal operations matters; correspondence of a transitory nature having no value after an action is completed; and general housekeeping records.

Records that summarize the origin and administration of major municipal policies and programs should be retained permanently.

Routine correspondence and program files, and housekeeping records should be retained as long as of administrative value.

2. Agendas for meetings of governing body, board, agency, commission or committee thereof

Retain one copy permanently if not included with minutes. Retain duplicate copies as long as of administrative value.

CHAPTER TWO (Continued)

3. Annexation, Consolidation and Boundary Change Records

Retain permanently.

4. Bonds (Performance and Security)

Retain 6 years after expiration. If bonds are part of a contract, retain as prescribed by the retention period for contracts.

5. Bylaws, Regulations and Rules of Order

Retain 5 years after superseded or revoked.

6. Cemetery Records:

Burial/Exhumation/Removal Records

Retain permanently.

Lot Location Files

Retain permanently.

Lot Ownership Records

Retain permanently.

7. Charters, Corporate Name Change Records, Incorporation Certificates and Related Amendments

Retain permanently.

8. Contract Files:

(Includes Advertisements, Bid Summary and Tabulation Sheets, Franchises, Instructions to Bidders, Leases or Agreements, Specifications, and Supporting Workpapers)

Bids and Proposals

If successful - Retain 6 years after termination of general written contracts. Retain 12 years after termination of construction contracts.

If unsuccessful - Retain 3 years after job completion.

CHAPTER TWO (Continued)

Contracts and Agreements

Retain general written contracts 6 years after termination. Retain construction contracts 12 years after termination.

9. Deeds and Related Land Records

Retain permanently.

10. Disaster Plans for Municipal Facilities

Retain until superseded or obsolete.

11. Easements

Retain permanently.

12. Election Records:

Certificates of Election

Retain 6 years.

Certifications for Referenda

Retain permanently.

Notices of Nominations to be Made

Retain 11 months.

13. Ethics Commission Statements of Financial Interest

Retain 5 years.

14. Executive Vetoes and Veto Messages

Retain permanently.

15. Grant Administration Records
(Includes Fiscal and Program Records)

Comply with retention requirements promulgated by the appropriate administering/funding/licensing agency.

CHAPTER TWO (Continued)

16. Hazardous Substance Survey Forms

Retain 30 years. If used as health and exposure record for employee involved in a specific incident, retain 30 years after termination of employment. (See Chapter Four, Individual Employee Medical Records)

17. Historic Preservation Documentation (Submitted to Pennsylvania Historical and Museum Commission):

Environmental Review Papers

Retain 8 years.

Historical and Architectural Information Inventory/
Survey Data

Retain permanently.

National Register of Historic Places Documentation

Retain permanently.

18. Insurance Claims and Policies

Retain claims 6 years after final settlement. Retain policies 6 years after expiration, provided all claims have been settled.

19. Legislative Investigation Records

Retain 10 years; then contact State Archives regarding historical value.

20. Litigation Case Files

Retain closed cases as long as of administrative and legal value. Retain cases of precedential value permanently.

21. Mailing Lists

Retain 1 year after superseded or obsolete.

CHAPTER TWO (Continued)

22. Master Property and Equipment/Fixed Assets Inventories

Retain property and equipment inventories 5 years after superseded or obsolete. Retain fixed assets inventories permanently.

23. Material Safety Data Sheets

Retain 30 years. If used as health and exposure record for employee involved in a specific incident, retain 30 years after termination of employment. (See Chapter Four, Individual Employee Medical Records)

24. Minutes

(Includes all records accepted as part of the minutes) Minutes of the Governing Board and Other Municipal Boards, Authorities and Commissions and Committees thereof.

(Including but not limited to: Board of Health; Charter Commission; Civil Service Commission; Emergency Medical Services Council; Library Board; Licensing and Review Boards; Municipal Authorities such as Industrial Development, Parking, Sewer, Traffic, Transit and Water; Park and Recreation Board; Pension Board, Planning Commission, Shade Tree Commission and Zoning Hearing Board.)

Retain permanently.

25. Municipal Obligations:

Bonds and Coupons

Retain 6 years after cancellation.

Bond Ledgers and Books

Retain permanently.

Canceled Notes

Retain 6 years.

26. Municipal Records Disposal Certification Request Forms (Submitted to the Pennsylvania Historical and Museum Commission)

Retain permanently.

CHAPTER TWO (Continued)

27. Notices of Violation of Municipal Ordinance
Retain 30 days after issue is settled or resolved.
28. Oaths of Municipal Officials
Retain 6 years.
29. Ordinances
Retain permanently.
30. Petitions
Retain 5 years. Retain permanently those resulting in an ordinance or charter change.
31. Photographs
(Includes photographs of municipal officials, buildings, public celebrations, etc.)
Retain as long as of administrative value; then contact State Archives regarding historical value.
32. Press Releases
Retain as long as of administrative value.
33. Proclamations of Official Municipal Events
Retain permanently.
34. Public Hearing Notices and Proof of Publication
Retain 10 years.
35. Real Estate Registry Records
Retain permanently.
36. Reports:
Annual Municipal and Municipal
Department/Board/Commission Reports
Retain permanently.

CHAPTER TWO (Continued)

Quarterly, Monthly and other Periodic Routine Activity Reports

Retain as long as of administrative value.

37. Requests for Service Records:

Sheets/Forms

Retain 1 year after satisfaction of request.

Summary Service Logs/Registers

Retain as long as of administrative value.

38. Resolutions

Retain permanently.

39. Rosters of Officials (Submitted to the Pennsylvania Department of Transportation)

Retain permanently.

40. Sales and Use Tax Exemption Certificates

Retain 3 years from the end of the year in which the last sale or lease takes place.

41. Solicitor's Records:

Case Files

Retain closed cases as long as of administrative and legal value. Retain cases of precedential value permanently.

Opinions

Retain permanently.

42. Survey of Financial Condition Forms (Submitted to Pennsylvania Department of Community And Economic Development)

Retain 3 years.

CHAPTER TWO (Continued)

43. Survey Records
(Includes employee and opinion surveys, and summaries)

Retain routine surveys as long as of administrative value. Retain those relating to budget or charter changes permanently.

44. Treasurers' Bond Certifications (Submitted to the Pennsylvania Department of Transportation)

Retain 7 years.

CHAPTER THREE

DATA PROCESSING RECORDS

Chapter Three should only be used in conjunction with all other relevant chapters of this schedule.

1. Cost/Charge Back Reports
Retain 3 years.
2. Data Library Inventory Records
Retain until superseded or obsolete.
3. Equipment Maintenance/Repair Records
Retain for life of equipment.
4. Hardware and Software Inventories
Retain until superseded or obsolete.
5. Machine Utilization Reports
Retain 2 years.
6. Operations Documentation
Retain for life of system or until superseded or obsolete.
7. Program Documentation
Retain for life of system.
8. System Documentation
Retain for life of system or until superseded or obsolete.
9. User Documentation
Retain until superseded or obsolete.

CHAPTER THREE (Continued)

10. User Requests for Data Processing Services

Retain as long as of administrative value.

CHAPTER FOUR

PERSONNEL RECORDS

Chapter Four should only be used in conjunction with all other relevant chapters of this schedule.

1. Administrative Organizational Charts

Retain one copy permanently if not included with minutes. Retain duplicate copies as long as of administrative value.

2. Applications for Employment (Not Hired)

Retain 2 years.

3. Civil Service Commission Records:

Appeals/Removal Files

Retain 5 years after expiration of all appeal periods.

Eligibility Lists

Retain 5 years after list expires.

Merit System Examination Records and Answer Sheets

Retain 5 years.

Recommendations of Applicants for Appointments

Retain 5 years.

4. Emergency Information Sheets

Retain most recent update for tenure of employee.

5. Employee Card Files or Record Books

Retain permanently.

CHAPTER FOUR (Continued)

6. Employee Health Insurance Claim Files
Retain 5 years after settlement of claim.
7. Equal Employment Opportunity Records

Compliance Reports and Related Records

Retain 3 years.

Official Discrimination Complaint Case Files

Retain 4 years after resolution of case.
8. Individual Employee Medical Records

Retain same length of time as Individual Employee Personnel Records. However, if employee has been exposed to toxic substances or harmful physical agents in the work place, retain at least 30 years after termination of employment and comply with appropriate Occupational Safety and Health Standards issued by the U.S. Department of Labor (29 CFR Ch.XVII). (See Chapter Two, Hazardous Substance Survey Forms and Material Safety Data Sheets.)
9. Individual Employee Personnel Records
(Includes Applications for Employment, Commendations, Correspondence, Health Insurance Membership Applications, Letters of Resignation, Life Insurance Applications, Performance Evaluations, Personnel Change Forms, Personnel History Card, Photo Identification Records, References, Resume, Retirement Membership Applications, Salary Review Forms, Separation Report, Training Records, and Vacation and Sick Leave Reports)

Employees Who Separate With Post-Termination Benefits

Retain 50 years after termination of employment. If all benefits are paid prior to expiration of the 50 year period, retain records 3 years after all benefits have been paid. (If applicable, comply with union rules relating to certain types of personnel records such as evaluations and reprimands.)

CHAPTER FOUR (Continued)

Employees Who Separate Without Post-Termination
Benefits

Retain 5 years after termination of employment.
(If applicable, comply with union rules relating
to certain types of personnel records such as
evaluations and reprimands.)

10. Job Announcements

Retain 2 years after position has been filled.

11. Job Descriptions

Retain current plus one prior revision.

12. Labor Negotiations Files

Retain 5 years after expiration of contract.

13. Union Grievances

Retain 3 years after final resolution.

14. Worker's Compensation Records

Retain 4 years after the signing of final settlement
receipt, or 4 years after death of recipient.

CHAPTER FIVE

PAYROLL RECORDS

Chapter Five should only be used in conjunction with all other relevant chapters of this schedule.

1. Cancelled Payroll Checks

Retain 7 years.

2. Employee Payroll Adjustment Records

Retain 4 years.

3. Individual Employee's Earning Record - Terminated Employees:

Employees Who Separate With Post-Termination Benefits

Retain 50 years after termination of employment. If all benefits are paid prior to expiration of the 50 year period, retain records 3 years after all benefits have been paid.

Employees Who Separate Without Post-Termination Benefits

Retain 5 years after termination of employment.

4. Individual Employee's Pension Files

Retain 50 years after termination of employment. If all benefits are paid prior to expiration of the 50 year period, retain records 3 years after all benefits have been paid.

5. Payroll Deduction Authorizations

Retain 4 years after cancelled or superseded.

6. Payroll Earnings and Deductions Registers:

CHAPTER FIVE (Continued)

Pay Period Reports

Retain 4 years.

Year-to-Date Annual Summary

If payroll data is posted to individual employee's earning record, retain 7 years; otherwise, retain 100 years.

7. Payroll Voucher (Check) Registers

Retain 7 years.

8. Pension Plan Data Sheets (Submitted to Pennsylvania Public Employee Retirement Study Commission)

Retain 10 years.

9. Pension Plan Ledgers and Registers

Retain permanently.

10. Pension Plans

Retain 6 years after termination of plan.

11. Quarterly Returns of Withholding of Federal Income Tax

Retain 4 years.

12. Quarterly Statements of State and Local Taxes Withheld

Retain 4 years.

13. Social Security Reports

Retain 4 years.

14. Time Cards and Attendance Records
(Includes Vacation and Leave Slips and Work Schedules)

Retain 3 years.

CHAPTER FIVE (Continued)

15. Unemployment Compensation Records
(Contributory Form UC-2/2A/2B and Supporting Records)

Retain 4 years after contributions have been paid.
16. Wage and Tax Statements (W-2 Forms)

Retain 4 years after due date of tax.
17. Withholding Allowance Certificates (W-4 Forms)

Retain 4 years after new certificate is filed or
employment is terminated.

CHAPTER SIX

GENERAL FINANCIAL AND PURCHASING RECORDS

Chapter Six should only be used in conjunction with all other relevant chapters of this schedule.

1. Account Distribution Summaries:

Weekly/Monthly

Retain 3 years.

Year-End

Retain 7 years.

2. Accounts Payable Files and Ledgers

Retain 7 years.

3. Accounts Receivable Files and Ledgers

Retain 7 years.

4. Annual Budget Reports (Submitted to the Pennsylvania Department of Community and Economic Development)

Retain 5 years.

5. Annual Budgets and Related Records

Retain one copy of the annual budget permanently.
Retain duplicate copies as long as of administrative value. Retain all other related papers 7 years.

6. Audit Reports (Annual Audit and Financial Reports Submitted to the Pennsylvania Department of Community and Economic Development and Other Audit Reports Submitted to the Municipality by an Independent, Appointed Auditor)

Retain permanently.

7. Audit Workpapers

Retain current plus 3 prior audit cycles.

CHAPTER SIX (Continued)

8. Balance Sheets
Retain 7 years.
9. Bank Statements and Reconciliations
Retain 3 years.
10. Bills
Retain 7 years.
11. Cancelled Checks
Retain 7 years.
12. Check Registers
Retain 7 years.
13. Daily Cash Records
Retain 3 years.
14. Deposit Slips
Retain 3 years.
15. Depreciation Schedules
Retain for life of equipment plus 3 years.
16. Expense Reports (Employee)
Retain 7 years.
17. Financial Statements:
Periodic
Retain until final completion of audit.
Certified
Retain permanently.

CHAPTER SIX (Continued)

18. General Ledger Analyses

Retain 7 years.

19. Investment Records

Retain 6 years after cancellation.

20. Invoices

Retain 7 years.

21. Purchase Order Files

Retain 7 years.

22. Supply Requisitions

Retain 2 years.

23. Surplus Property Records:

Logs

Retain until superseded or obsolete.

Sale Files

Retain 3 years.

24. Utility and Paid Service Receipts

Retain 7 years.

25. Vendor Files

Retain until superseded or obsolete.

26. Voucher Files

Retain 7 years.

27. Warrants

Retain 7 years.

CHAPTER SEVEN

TAX COLLECTION AND ASSESSMENT RECORDS

Chapter Seven should only be used in conjunction with all other relevant chapters of this schedule.

1. Bill of Taxes (Filed by Tax Collector with Sheriff)
Retain 2 years.
2. Certifications for Taxes Paid on Real Estate
(Provided by Tax Collector)
Retain 2 years.
3. Change of Address Records
Retain 2 years.
4. Delinquent Tax Collection Records
Retain 1 year after delinquent taxes have been paid.
5. Exoneration Certificates Issued to Tax Collector
Retain 5 years.
6. General and Special Tax Ledgers/Journals
(Includes Real Estate, Per Capita, Occupation, Earned
Income, Intangible Personal Property, Mercantile, Business
Privilege, Amusement and other Local Taxes)
Retain 7 years.
7. Mobile Home Removal Permits (Issued by Tax Collector)
Retain 2 years after expiration.
8. Occupational Tax Lists
Retain until superseded or obsolete.

CHAPTER SEVEN (Continued)

9. Personal Property Tax Return Forms/Cards
Retain 5 years.
10. Public Utility Realty Reports (Submitted to the Pennsylvania Department of Revenue)
Retain 7 years.
11. Real Estate Transfer Records (From Recorder of Deeds)
Retain as long as of administrative value.
12. Tax Bills, Paid Receipts
Retain 2 years.
13. Tax Collector's Reports (Annual report submitted to the Pennsylvania Department of Community And Economic Development)
Retain 10 years.
14. Tax Collector's Return Sheets (Submitted to Tax Claim Bureau)
Retain 1 year after delinquent taxes have been paid.
15. Tax Collector's Settlement Records
Retain 10 years.
16. Tax Duplicates (Real Estate and Non-Real Estate)
Retain duplicates in which tax payments have been recorded for 7 years. Retain other copies of the duplicates as long as of administrative value.
17. Tax Millage Certificates
Retain permanently.
18. Tax Notice Certification Statements (Submitted to Taxing District by Tax Collector)
Retain 2 years.

CHAPTER SEVEN (Continued)

19. Tax Sale Execution Records (Real Estate)

Retain permanently.

ASSESSMENT RECORDS

(For Third Class Cities Which Conduct Their Own Real Estate Assessment)

1. Abatements and Exonerations

Retain 5 years.

2. Aerial Photographs

Retain permanently.

3. Appraisal Forms

Retain until superseded or obsolete.

4. Assessment Appeal Papers

Retain 3 years after settlement. Retain 5 years after settlement if appealed to court.

5. Change of Assessment Notices

Retain 5 years.

6. Developers' Plans

Retain as long as of administrative value.

7. Exemption Files

Retain 3 years after expiration of exemption.

8. Industrial and Commercial Assessment Reports

Retain until superseded or obsolete.

9. Mobile Home and House Trailer Reports

Retain until superseded or obsolete

CHAPTER SEVEN (Continued)

ASSESSMENT RECORDS (Continued)

(For Third Class Cities Which Conduct Their Own Real Estate Assessment)

10. Property Record Cards

Retain permanently.

11. Real Estate Tax Duplicates

Retain 21 years; then contact the State Archives regarding historical value.

12. Real Estate Tax Maps and Indices

Retain permanently.

CHAPTER EIGHT

POLICE RECORDS

Chapter Eight should only be used in conjunction with all other relevant chapters of this schedule.

1. Animal Law Enforcement Records

Retain 2 years.

2. Bicycle Registration Records

Retain 2 years.

3. Calibration Records

(Includes Chemical Analysis Intoxilizer, Vehicle Speedometer, Radar, Vascar and other Speed Measuring Devices)

Retain 5 years after expiration of certification.

4. Citations

Traffic

Retain 5 years if not part of Criminal History Case File.

Non-Traffic

Retain 5 years if not part of Criminal History Case File.

5. Community Relations Files

(Includes information relating to Business and Home Security Surveys, Crime Prevention, Educational Programs, Neighborhood Crime Watch, and Public Safety)

Retain as long as of administrative value.

6. Complaints, Incident Reports or Initial Activity Reports

Retain 3 years if not part of Criminal History Case File.

CHAPTER EIGHT (Continued)

7. Court Orders

Retain as long as of administrative and legal value if not part of Criminal History Case File.

8. Criminal History/Investigatory Case Files (Including but not limited to: Arrest and Detention Records, Citations and Complaints, Crime Analysis Records, Evidence Records, Field Notes, Hospital and Medical Records, Lab Reports, Offense Reports, Probation and Parole Records, Press Releases, Search Warrants, Subpoenas, and Vehicular Reports)

Homicides/Suspicious Deaths/Missing Persons

Retain 75 years.

Summary Cases

Retain 5 years after close of investigation.

All Other Cases

Retain 20 years after close of investigation.

9. Criminal History Dissemination Records

Retain same length of time as case file. If no criminal record is found, retain 2 years.

10. Daily Activity Records
(Includes Assignment Sheets, Officer Activity Reports, Patrol Logs, Sign-In Logs, and Work Schedules)

Retain 2 years.

11. Daily Bulletins/Blotters/Logs
(Chronological Summary of Departmental Activities)

Retain as long as of administrative value.

12. Dispatcher's Log Books

Retain 2 years after last entry.

CHAPTER EIGHT (Continued)

13. Firearms and Ammunition - Records/Inventories
(Departmental)

Retain 2 years after superseded or obsolete.

14. Hunting Accident Reports (Submitted to the Pennsylvania
Game Commission)

Retain 2 years.

15. Internal Affairs Case Files:

Incident Log

Retain 7 years after last entry.

Substantiated Charges

Retain 3 years after termination of employment.

Unsubstantiated Charges

Retain 3 years after close of investigation or
comply with union rules if applicable.

16. K-9 Corps Records

Retain veterinary and training records 2 years after
retirement or death of dog.

17. Master Name Index

Retain as long as of administrative and legal value.

18. Motor Vehicle Records:

Accident Reports

Retain 5 years after close of investigation if
not part of Criminal History Case File.

Parking Violations (Tickets)

Retain 1 year after all fines have been paid.

CHAPTER EIGHT (Continued)

Police Requests for Removal of Abandoned or Impounded Vehicles

Retain 2 years.

Recommendations for Special Driver's Examinations

Retain 1 year.

19. Pennsylvania Uniform Crime Reporting Program Worksheets and Printouts

Retain 2 years.

20. Permits and Related Applications

Retain 2 years after expiration.

21. Property Records (Evidence/Found/Recovered)

Retain 10 years after property is no longer in custody of the police department if record is not part of Criminal History Case File.

22. Temporary Detention Records:

Detention Reports

Retain 3 years if not part of Criminal History Case File.

Inspection Reports (From the Pennsylvania Department of Corrections)

Retain 4 years.

23. Towing Records:

Tow Truck Operator's Schedules

Retain as long as of administrative value.

Towing Service Records

Retain 1 year after all fines have been paid.

CHAPTER EIGHT (Continued)

24. Vacation/Vacant House Check Records

Retain 30 days after re-occupancy.

25. Video/Audio Tapes

Training Documentation

Retain 2 years.

Officer Activity Documentation

Retain as long as of administrative and legal value.

26. Waivers for Riding in Police Vehicles

Retain as long as of administrative and legal value.

CHAPTER NINE

FIRE RECORDS

Chapter Nine should only be used in conjunction with all other relevant chapters of this schedule.

1. Annual Fire Loss Records

Retain permanently if not part of annual report.

2. Certification of Service by Paid and Volunteer Fire-Fighters (Submitted to the Office of the Pennsylvania Auditor General)

Retain current report plus two prior audit cycles.

3. Daily Operations Blotters and Activity Logs

Retain as long as of administrative value.

4. Drill Reports

Retain 7 years.

5. Duty Officer's Fire/Incident Reports

Retain 7 years if not part of investigation file.

6. Equipment Records:

Issued to Firefighters

Retain as long as of administrative value.

Loaned to Other Companies

Retain until satisfactory return of equipment.

7. Fire Codes and Ordinances

Retain permanently.

CHAPTER NINE (Continued)

8. Fire Safety Inspection Records:

Automated Sprinkler System Records

Retain until superseded or obsolete.

Building Surveys and Inspection Records

Retain 10 years after superseded or obsolete.

New Construction Reports and Inspection Forms

Retain 10 years after superseded or obsolete.

Notifications of Violations or Defects

Retain 5 years after subsequent inspection reveals defect or violation has been corrected.

9. Hydrant Records:

Location Listings and Maps

Retain until superseded or obsolete.

Major Maintenance/Testing Records

Retain 2 years after hydrant is removed or replaced.

10. Investigation Case Files:

Arson/Fires Resulting in Death and/or Injury

Retain 15 years after case is closed.

Other Fires

Retain 10 years after cause is determined.

11. Maintenance Records:

Apparatus Inspection Reports

Retain 2 years after retirement of apparatus or transfer with vehicle if appropriate.

CHAPTER NINE (Continued)

Equipment and Maintenance Logs

Retain for life of equipment.

Fire Alarm Box Test Records

Retain 2 years after box is removed or replaced.

12. Permits and Related Applications
(Includes Permits for Blasting, Fireworks Display,
Open Burning, and other hazardous operations)

Retain 3 years after expiration/revocation.

CHAPTER TEN

EMERGENCY SERVICES RECORDS

Chapter Ten should only be used in conjunction with all other relevant chapters of this schedule.

1. Audio Tapes and Logs
Retain tapes 45 days unless being held as evidence.
Retain logs 3 years after last entry.
2. Basic Comprehensive Emergency Management Plan and Records
Retain 3 years after superseded.
3. Civil Defense Records
Retain until superseded or obsolete.
4. Comprehensive Emergency Medical Services Plans
Retain 3 years after superseded.
5. Dosimetry Meter Records
Retain 2 years after expiration of certification.
6. Emergency Medical Treatment Records (Trip Reports)
Retain 7 years.
7. Incident Cards and Reports
Retain 3 years.
8. Quality Assurance Reviews
Retain 10 years.
9. Radio Dispatcher's Logs
Retain 3 years after last entry.

CHAPTER ELEVEN

PUBLIC HEALTH RECORDS

Chapter Eleven should only be used in conjunction with all other relevant chapters of this schedule.

1. Applications for Food Service Manager/Operator Certification

Retain 4 years.

2. Citations

Retain 3 years.

3. Epidemiological Reports of Food-Borne Illnesses, Outbreaks, and Complaints

Retain 7 years.

4. Epidemiological Reports of Water-Borne Illnesses, Outbreaks, and Complaints

Retain 12 years after resolution of case.

5. Food Embargo, Condemnation, and Recall Records

Retain 5 years.

6. General Nuisance Records - Non-Structure Notices of Violation and Correspondence including but not limited to:

- a. Tall Grass/Weeds
- b. Animal Fecal Matter
- c. Odors
- d. Filthy Conditions
- e. Decaying Matter

Retain 2 years after final disposition.

CHAPTER ELEVEN (Continued)

7. Health Inspection Records:

Non-Food Establishments

(Includes Applications for Annual Licenses, Complaints, Copies of Licenses, Inspection Reports, Notices of Violation, Enforcement and Legal Records, and Correspondence)

Retain 4 years.

Food Establishment Records

(Includes Applications for Annual Licenses, Bacteriological Reports, Certificates of Health, Complaints, Copies of Licenses, Inspection Reports, Notices of Violation, Enforcement and Legal Records, and Correspondence Relating to Establishments Serving or Manufacturing Food and Drink)

Retain 4 years.

8. Rent Withholding Cases

Retain 7 years.

9. Reports to the State Board of Health

Retain 5 years.

10. State Permits and Approvals

Retain in compliance with regulations promulgated by the issuing agency.

11. Vector Control Records

(Includes Field Contact Reports, Investigations, Logbooks, Spraying Records and Treatment Records)

Retain 4 years.

CHAPTER TWELVE

PUBLIC WORKS/ENGINEERING RECORDS

Chapter Twelve should only be used in conjunction with all other relevant chapters of this schedule.

1. Applications/Licenses/Permits (For Access Driveway Locations, Handicapped Parking Spaces, Load Zones and Signs):

Annual or Short-Term

Retain 3 years after expiration.

Continuing/Indefinite

Retain until revoked or suspended.

2. Complaints and Notification of Hazards

Retain 2 years after correction/final resolution.

3. Construction Records:

Engineering and Survey Notes and Drawings

Retain permanently.

Plans and Specifications

Retain until structure is reconstructed or is no longer municipal property/responsibility; transfer to new owner if appropriate.

4. Equipment Records

Retain for life of equipment.

5. Highway Transfers
(Includes Agreements, Encumbrances, Engineering Data, General Project Information, Maps, Resolutions and other Supporting Papers)

Retain permanently.

CHAPTER TWELVE (Continued)

6. Liquid Fuels Tax Records
Retain 7 years.
7. Maintenance Records - Road/Building/Facility:
Routine
Retain 5 years.
Structural
Retain until structure is reconstructed or is no longer municipal property/responsibility; transfer to new owner if appropriate.
8. Maps
Retain 1 copy permanently. Retain other copies until superseded or obsolete.
9. Motor Vehicle Records
Retain until retirement or sale of vehicle; transfer to new owner if appropriate.
10. Road and Bridge Books and Papers
Retain permanently.
11. Road Mileage Reports (Submitted to the Pennsylvania Department of Transportation)
Retain permanently.
12. Road Operations Procedures
Retain until superseded.
13. Storm Water Management Records
(Includes Agreements and Requirements, Applications for Reimbursement, Copies of County Plan, Site Plans and Technical Studies)
Retain permanently.

CHAPTER TWELVE (Continued)

14. Street Light Records

Installation Records and Plans

Retain until light is removed or replaced.

Routine Maintenance Records

Retain 5 years.

15. Street Records:

Assessment Notification Records

Retain 3 years after all payments have been made.

Opening Orders and Deeds of Dedication

Retain permanently.

Street Cut/Excavation Permits

Retain 5 years.

16. Traffic Sign and Signal Records

(Includes Installation and Maintenance Records, Permits, and Plans)

Retain until sign/signal is removed or replaced.

17. Traffic Studies

(Includes Delay and Traffic Flow Studies, Speed, Time, and Volume)

Retain as long as of administrative value.

18. Transportation System Performance Forms (Submitted to the Pennsylvania Department of Transportation)

Retain 3 years.

19. Underground Conduit Records

Retain permanently.

CHAPTER THIRTEEN

WASTE MANAGEMENT AND SEWAGE DISPOSAL RECORDS

Chapter Thirteen should only be used in conjunction with all other relevant chapters of this schedule.

1. Act 537 Plan, Revisions and Supplements (Pennsylvania Sewage Facilities Act of 1966 as Amended)

Retain until superseded.

2. BioSolids Disposal Records (Sludge):
(Includes Permits and Permit Applications, Contracts, Operational Reports, Laboratory Analysis Reports, and Related Correspondence)

Retain permanently.

3. Investigation Case Files (Department of Environmental Protection Records):
(Includes Inspection Reports, Notices of Violation, Laboratory Results, Investigations, Complaints, Enforcement Actions, and Related Correspondence)

Retain 25 years after case is closed.

4. Notification of Permits and Permit Revisions
(Act 14 of 1984, Amending the Pennsylvania Administrative Code, Section 1905-A)

Retain as long as of administrative value.

5. On-Lot Sewage System Records:

Applications for On-Lot Sewage System Permits
(Includes Plans and Specifications, Applications for Permits, Inspections, Test Results, Copies of Permits Issued, Notices of Violation, and Related Records)

Retain until system is replaced or property is connected to a public sewage treatment system.

CHAPTER THIRTEEN (Continued)

Sewage Planning Module Components for Subdivisions
(Includes Plans, Specifications, County Subdivision
Applications and Related Records)

Retain 5 years after last lot developed.

6. Operating Records for Public Sewage Treatment Systems,
Sewer Line Extensions, and Pumping Facilities:

Daily Operating Reports

Retain 2 years.

Monthly Discharge Monitoring Reports

Retain 3 years.

Yearly Waste Load Management Reports
(25 Pa. Code, Chapter 94)

Retain permanently.

7. Planning Modules for New Land Development (Submitted to the
Department of Environmental Protection)

Retain as long as of administrative value.

8. Public Sewage Treatment System Installation Records
Relating to Subdivisions:
(Includes Plans, Specifications, Sewage Planning Module
Components, County Subdivision Applications and Related
Records)

Retain plans and specifications permanently. Retain
other records 5 years after completion of project.

9. Public Sewage Treatment Systems/Sewer Line Extensions/
Pumping Facilities Records as Required by the Clean Streams
Act:
(Includes Plans, Specifications and Permits, National
Pollution Discharge Elimination System Permit Applications
(NPDES), and Related Records)

Retain permanently.

CHAPTER THIRTEEN (Continued)

10. Recycling Program Records

Retain 5 years.

11. Sewer Assessment Notification Records
(For Initial Installation)

Retain 3 years after all payments have been made.

12. Sewer Enforcement Officer Certification Records

Retain until expiration of certification.

13. Sewer Rights-of-Way and Easements

Retain permanently.

14. Solid Waste Records (Landfills):

Case Files

(Includes Applications for Landfill Permits, Copies of Permits, Complaints, Daily Disposal Logs, Groundwater Monitoring Records, Inspections, Module 1 Applications, Notices of Violation, Reviews of Proposed Sites, Sampling Reports and Related Correspondence)

Retain 30 years after lifespan of facility.

Volume and Weight Records

Retain 2 years.

15. Toxic Reduction Evaluation Reports:

(Includes Engineering Analysis, Pollutant Control Evaluations, Quality Reviews and Systems Inventories)

Retain permanently.

16. Transporter/Hauler Records (Includes Log Books, Permit Applications including Vehicle Information, Notices of Violation, Inspection and Operational Reports, and Related Correspondence)

Retain 4 years.

CHAPTER FOURTEEN

PLANNING AND BUILDING/ZONING
CODE ENFORCEMENT RECORDS

Chapter Fourteen should only be used in conjunction with all other relevant chapters of this schedule.

1. Aerial Photographs

Retain until superseded or obsolete; then contact State Archives regarding historical value.

2. Building and Housing Construction Records

Retain records relating to places of public assembly until structure is demolished. Retain records relating to other structures 5 years after certificate of occupancy has been issued or 5 years after final approval of project (if no certificate of occupancy has been issued).

3. Building Permits and Applications

Retain records relating to places of public assembly until structure is demolished. Retain records relating to other structures 5 years after certificate of occupancy has been issued or 5 years after final approval of project (if no certificate of occupancy has been issued). Contact State Archives regarding historical value.

4. Citations

Retain 3 years after resolution of complaint.

5. Complaints, Notices of Violations, and Investigations

Retain 3 years after final disposition.

6. Comprehensive Master Plans

Retain permanently.

CHAPTER FOURTEEN (Continued)

7. Contractors' Licensing Records

Retain 7 years.

8. Demolition Permits and Applications

Retain permanently.

9. Economic Development and Redevelopment Files

Comply with retention requirements promulgated by the appropriate administering/funding/licensing agency.

10. Flood Plain Management Records:

Annual Reports of Flood Plain Management Activities
(Submitted to the Pennsylvania Department of Community
And Economic Development)

Retain 5 years.

Variances to Flood Plain Regulations

Retain permanently.

11. Maps and Plats

(Includes Community Facilities, Zoning, Flood Plain,
Geologic Survey, Land Use, Subdivision, Topographic, and
Water and Soil)

Retain one copy permanently. Retain other copies
until superseded or obsolete.

12. Occupancy and Use Permits

Retain until revoked or superseded.

13. Reports of Buildings or Zoning Permits Issued and Local
Public Construction (Submitted to U.S. Department of
Commerce, Bureau of the Census)

Retain 5 years.

CHAPTER FOURTEEN (Continued)

14. Subdivision and Land Development Reviews and Approvals/Disapprovals

Retain application form, official review and report, approval or disapproval, plot plans, and financial security and development agreements permanently. Retain other records as long as of administrative value.

15. Zoning Board and Zoning Hearing Board Records:

Board Decisions or Findings of Fact

Retain permanently.

Hearing Applications

Retain 3 years after final decision.

Hearing Tapes/Stenographic Notes and Transcripts

Retain tapes and notes 90 days after final decision if no appeal to Common Pleas Court is filed. If appeal to Common Pleas Court is filed, retain tapes, notes and transcripts until resolution of case.

Ordinance Amendment Reviews

Retain permanently.

Records in Court Cases

Retain permanently.

CHAPTER FIFTEEN

WATER QUALITY, SUPPLY AND DISTRIBUTION RECORDS

Chapter Fifteen should only be used in conjunction with all other relevant chapters of this schedule.

1. Operating Records for Water Treatment Plants

Annual Reports and Special Studies

Retain permanently.

Daily Operating Reports

Retain 2 years.

Monthly Operating Reports

Retain 10 years.

2. Permit Files (For Water Treatment Plants and Public Water Supply Systems):

(Includes Applications, Approvals/Disapprovals, Plans, Maps, Specifications, Engineering Drawings, Variances, Inspection Reports, and Related Correspondence)

Retain permanently.

3. Water Line Assessment Notification Records:
(For Initial Installation)

Retain 3 years after all payments have been made.

4. Water Quality Records:

(Includes Inspections, Tests, Monitoring Reports, Chemical Analyses, and Supporting Documentation)

Retain annual water supply reports, emergency response plans, operation and maintenance plans until superseded or obsolete. Retain other records 12 years.

5. Waterworks Operators Certification Records

Retain until expiration of certification.

CHAPTER SIXTEEN

LIBRARY RECORDS

Chapter Sixteen should only be used in conjunction with all other relevant chapters of this schedule.

1. Applications for State Aid

Retain 5 years.

2. Book and Materials Inventories

Retain until superseded or obsolete.

3. Book Purchase and Disposal Records

Retain 2 years.

4. Circulation Records:

Annual Statistics

Retain permanently if not incorporated in annual report. If incorporated in annual report retain as long as of administrative value.

Inter-Library Loan Records

Retain as long as of administrative value.

5. Library Board Rules and Regulations

Retain 5 years after revoked or superseded.

6. Materials Accession and Disposal Records

Retain 2 years.

7. Patron Registration Files

Retain 3 years after expiration of card. For patrons with delinquencies, retain 3 years after settlement of delinquencies.

CHAPTER SIXTEEN (Continued)

8. Reports to State Library

Retain permanently.

CHAPTER SEVENTEEN

PARKS AND RECREATION RECORDS

Chapter Seventeen should only be used in conjunction with all other relevant chapters of this schedule.

1. Accident/Incident Reports

Retain 3 years.

2. Citations

Retain 3 years.

3. Park Planning Files (Includes As-Built Plans showing Layout, Topography and Proposed Improvements)

Retain permanently.

4. Park Program Files

Retain 2 years.

5. Park Rules and Regulations

Retain 5 years after revoked or superseded.

6. Park Use Records (Includes Facilities such as Tennis Courts, Golf Course, Athletic Fields and Playgrounds)

Retain 3 years.

7. Public Bathing Facilities (Includes Inspections, Notices of Violations, Service Requests, Enforcement Records, Laboratory Results, Operational Reports, Complaints, and Correspondence)

Retain 4 years.

CHAPTER EIGHTEEN

FULL-TIME MUNICIPAL HEALTH DEPARTMENT RECORDS

Full-time Municipal Health Departments should contact the State Archives at the following address for copies of this Retention and Disposition Schedule:

Pennsylvania Historical and Museum Commission
Division of Archival and Records Management Services
Pennsylvania State Archives Building
350 North Street
Harrisburg, PA 17120-0090

Telephone (717) 787-3913, 783-9874 or 783-5796

MUNICIPAL RECORDS ACT *
TITLE 53. MUNICIPALITIES GENERALLY
PART III. GOVERNMENT AND ADMINISTRATION
SUBPART B. GOVERNING BODY
CHAPTER 13. GENERAL PROVISIONS
SUBCHAPTER F. RECORDS

Section 1381. Short title and scope of subchapter

(a) Short title of subchapter.-- This subchapter shall be known and may be cited as the Municipal Records Act.

(b) Scope of subchapter.-- This subchapter applies to the following entities:

(1) A city of the third class, borough, incorporated town, township of the first class or township of the second class, including any municipal corporation as described in this paragraph which has adopted a home rule charter.

(2) Municipal authorities created by any municipal corporation which is subject to this subchapter. This subchapter does not apply to cities of the first class, second class or second class A.

Section 1382. Definitions

The following words and phrases when used in this subchapter shall have the meanings given to them in this section unless the context clearly indicates otherwise:

"Commission." The Pennsylvania Historical and Museum Commission.

"Committee." The Local Government Records Committee.

"Public records." Any papers, books, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by an entity under law or in connection with the exercise of its powers and the discharge of its duties.

Section 1383. Disposition of public records

Public records may be disposed of if the disposition is in conformity with schedules and regulations which are promulgated by the committee as established by section 1385 (relating to Local Government Records Committee).

Section 1384. Proposed retention and disposal schedules

The commission, in cooperation with the several associations of municipal officials and related Commonwealth agencies, shall make a study of public records and shall prepare proposed retention and disposition schedules for submission to the committee for its approval and advise each of them of all applicable operative schedules and prepare updates of these schedules as needed. No such schedule shall be operative unless approved by the committee.

Section 1385. Local Government Records Committee

(a) Establishment.-- There shall be established under the commission the Local Government Records Committee which shall consist of the Auditor General, the State Treasurer, the General Counsel, the Executive Director of the Pennsylvania Historical and Museum Commission, the Secretary of Community and Economic Development and five other members to be appointed by the Governor to represent each of the following municipal associations: the League of Cities, the State Association of Boroughs, the State Association of Township Commissioners, the State Association of Township Supervisors and the Municipal Authorities' Association. Each ex officio member of the committee may designate in writing a representative to act in place of the member. The Secretary of Community and Economic Development shall serve as chairman, and the executive director of the commission shall serve as secretary. Meetings of the committee shall be at the call of the chairman.

(b) Powers and duties.-- The committee shall have the powers and duties vested in and imposed upon it by this subchapter and shall promulgate regulations not inconsistent with law necessary to adequately effectuate its powers and duties.

Section 1386. Effect of approval of schedule

(a) Disposition generally.-- Whenever a schedule is approved by the committee, a copy shall be filed with the commission which shall, through appropriate means, notify the entities that the schedule has been approved. Upon such notification, the schedule becomes effective and may be acted upon by them until superseded by a subsequent duly approved schedule. Each entity shall declare its intent to follow the schedule by ordinance or resolution. Each individual act of disposition shall be approved by resolution of the governing body.

(b) Disposition of permanent retention records.-- Original records scheduled for permanent retention may be disposed of if, in addition to the procedures listed in this section, the entity generates and maintains a copy of the original in conformance with section 1388 (relating to recording and copying records) and receives written permission from the commission to dispose of the records. Written permission from the commission is required only for disposition actions involving records scheduled for permanent retention, records not listed on the schedules and records selected for transfer to the State Archives.

Section 1387. Nonliability of official

An official shall not be held liable on his official bond for damages for loss or in any other manner, civil or criminal, because of the disposition of public records pursuant to the provisions of this subchapter.

Section 1388. Recording and copying records

(a) Authorized methods.-- Records may be recorded or copied in conformance with section 1 of the act of May 9, 1949 (P.L. 908, no. 250), entitled "An act relating to public records of political subdivisions other than cities and counties of the first class; authorizing the recording and copying of documents, plats, papers and instruments of writing by photostatic, photographic, microfilm or other mechanical process, and the admissibility thereof and enlargements thereof in evidence; providing for the storage of duplicates and sale of microfilm copies of official records and for the destruction of other records deemed valueless; and providing for the services of the department of property and supplies to political subdivisions," and applicable policies, standards and procedures adopted by the committee.

(b) Evidence of records.-- Upon disposition of any public records under this subchapter, the copy shall be receivable in evidence in any court or proceeding and shall have the same force and effect as though the original public record had been produced and proved.

Section 1389. Applicability of other statutes

This subchapter is intended as a supplement to existing statutes. The existing statutes which provide for destruction may be utilized by officials in lieu of compliance with this subchapter. Nothing in this subchapter shall prevent officials from retaining records longer than the periods which may be provided in schedules approved by the committee.

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- * Act No. 428 was approved January 18, 1968. The Act was amended on October 15, 1980 by Act No. 164. This amendment made the General Counsel an ex officio member of the Local Government Records Committee and removed the Attorney General from the Committee. The Act was further amended on February 18, 1998 by Act No. 27 and on May 5, 1998 by Act No. 50.

APPENDIX B

Example of Resolution Indicating Intent to Follow Municipal Records Schedule

RESOLUTION

A RESOLUTION OF (Governing Body) _____, of
(Municipality Name) _____ COUNTY,
PENNSYLVANIA, DECLARING ITS INTENT TO FOLLOW THE SCHEDULES AND
PROCEDURES FOR DISPOSITION OF RECORDS AS SET FORTH IN THE MUNICIPAL
RECORDS MANUAL APPROVED ON JULY 16, 1993.

WHEREAS, a Local Government Records Committee was created by Act 428
of 1968 and empowered thereby to make rules and regulations for records
disposition; and,

WHEREAS, the Municipal Records Manual was approved by said Committee on
July 16, 1993; and,

WHEREAS, the (Municipality Name) _____
desires to dispose of records according to statutory requirements;

NOW, THEREFORE, BE IT RESOLVED by (Governing Body) _____ of
(Municipality Name) _____ County,
Pennsylvania, that it intends to follow the schedules and procedures for disposition of records as
set forth in the Municipal Records Manual approved on July 16, 1993.

Attest:

Signatures

Seal

APPENDIX C

Example of Disposition Resolution for Destruction of Specific Records

RESOLUTION

Resolved by the (Governing Body) _____ of
(Municipality Name) _____, _____ County,
Pennsylvania, That

WHEREAS, by virtue of Resolution No. _____, adopted
(date) _____, the (Municipality Name) _____
declared its intent to follow the schedules and procedures for the disposition of records
as set forth in the Municipal Records Manual approved on July 16, 1993, and,

WHEREAS, in accordance with Act 428 of 1968, each individual act of
disposition shall be approved by resolution of the governing body of the
municipality;

NOW, THEREFORE, BE IT RESOLVED That (Governing Body) _____
of (Municipality Name) _____, _____ County,
Pennsylvania, in accordance with the above cited Municipal Records Manual,
hereby authorizes the disposition of the following public records:

Office

Record title, dates, cubic ft.

Office

Record title, dates, cubic ft.

Attest:

Signatures

Seal

APPENDIX D

MUNICIPAL RECORDS DISPOSAL CERTIFICATION REQUEST

1. MUNICIPALITY _____ 2. OFFICE OF ORIGIN _____ 3. ADDRESS _____		11. QUANTITY _____ Total Cubic Feet No. of cartons _____ length _____ width _____ height _____ Of Average Carton No. of volumes _____ length _____ width _____ height _____ Of Average Volume No. of file drawers _____ <input type="checkbox"/> Legal <input type="checkbox"/> Letter <input type="checkbox"/> Woodruff <input type="checkbox"/> Other _____	
4. CONTACT PERSON _____	5. PHONE _____	12. DESCRIPTION OF RECORD IF NOT ON SCHEDULE (Include type of information contained and purpose of records) _____ _____ _____	
6. APPROVAL REQUESTED FOR: <input type="checkbox"/> Records Destruction <input type="checkbox"/> Records Transfer to PHMC			
7. RECORD TITLE AND INCLUSIVE DATES (One series per form) _____			
8. IS THIS THE PRIMARY COPY? <input type="checkbox"/> Yes <input type="checkbox"/> No IF NO, OFFICE THAT HOLDS PRIMARY COPY _____		13. HAVE RECORDS BEEN MICROFILMED? <input type="checkbox"/> Yes <input type="checkbox"/> No Size: 16 mm _____ 35 mm _____ Other _____ Form: Roll _____ Cartridge _____ Cassette _____ Fiche _____ Other _____	
9. RETENTION PERIOD IN SCHEDULE _____ PAGE AND SECTION IN SCHEDULE _____		LOCATION OF SECURITY COPY _____ _____ _____	
10. HAVE ALL AUDIT REQUIREMENTS BEEN MET? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable			

14. THIS IS TO REQUEST AUTHORIZATION TO DISPOSE OF THE ABOVE MENTIONED RECORDS AS INDICATED IN BOX 6. THIS ALSO CERTIFIES THAT ANY SECURITY MICROFILM GENERATED FROM THE RECORDS LISTED ON THIS REQUEST MEET THE MICROGRAPHICS STANDARDS APPROVED BY THE LOCAL GOVERNMENT RECORDS COMMITTEE.

SIGNATURE OF MUNICIPAL OFFICER _____	TITLE _____	DATE _____
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FOR PENNSYLVANIA HISTORICAL AND MUSEUM COMMISSION USE ONLY

APPROVAL IS GIVEN FOR: Destruction Destruction as Amended Transfer to PHMC
 Disapproved

COMMENTS/AMENDMENTS:

SIGNATURE _____	TITLE _____	DATE _____
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PREPARE IN TRIPLICATE, SEND THE ORIGINAL AND ONE COPY TO THE PENNSYLVANIA HISTORICAL AND MUSEUM COMMISSION, DIVISION OF ARCHIVAL AND RECORDS MANAGEMENT SERVICES, 350 NORTH STREET, HARRISBURG, PA 17120-0090 (717) 787-3913, 783-5796, or 783-9874