

MUNICIPAL RECORDS MANUAL



ISSUED FOR THE LOCAL GOVERNMENT RECORDS
COMMITTEE

BY THE
PENNSYLVANIA HISTORICAL AND MUSEUM
COMMISSION
BUREAU OF ARCHIVES AND HISTORY

HARRISBURG
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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

GENERAL PROVISIONS

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 Bureau of Archives and History.

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.

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 Municipal Records Act to dispose of records in accordance with schedules and guidelines that 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 Bureau of Archives and History (State Archives) in carrying out these records functions. The Archives seek and utilize 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.

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.

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 transfer select inactive records of historical value to the State Archives in accordance with the State Administrative Code.

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 should be referred to the Commission's Bureau of Archives and History (State Archives).

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 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 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 these requests 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).

(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 or electronic record copies may be substituted for non-permanent records unless otherwise noted in the schedule. All copies 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 Bureau of Archives and History (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 permanently valuable records unless otherwise noted in the schedule. Microfilm substituted for permanently valuable records must meet the 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 Bureau of Archives and History.

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

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.

POLICY AND GUIDELINES FOR THE MANAGEMENT OF ELECTRONIC RECORDS INCLUDING ELECTRONIC MAIL (E-MAIL) SYSTEMS

1. Purpose

Establish and clarify a records management policy for municipal officers with respect to the creation, use, maintenance, scheduling and disposition of electronic records including those created on e-mail systems.

2. Objectives

2.1 To ensure the efficient administration and management of electronic records and the preservation of those having long-term or permanent value.

2.2 To help ensure the accuracy, usability, longevity and legal acceptance of electronic records maintained by municipal offices.

2.3 To ensure the accessibility of electronic records in conformance with schedules approved by the Local Government Records Committee.

3. Scope

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

4. Definitions

Analog: Information in human readable form. It may be a duplicate, enlarged or reduced in size from the original.

AIIM: The Association for Information and Image Management, a standards setting body affiliated with the American National Standards Institute (ANSI), which is the principal developer of standards for microform and information storage technologies involving images.

ANSI: The American National Standards Institute, a private standards organization in the United States which coordinates the development and maintenance of various industry standards.

Binary Digit (bit): represents the binary code (0 or 1) with which the computer works. A number of bits together are used to represent a character in the computer.

Computer-Output Microfilm (COM): Microforms containing data produced by a recorder from computer-generated signals.

Converting Electronic Records: The export or import of electronic records from one software to another without the loss of structure, content and context even though the underlying bit stream pattern or code is likely to be altered.

Copying Electronic Records: The transfer of records from old storage media to new storage media with the same format specifications without any loss in structure, content and context. In copying electronic records, the underlying bit stream pattern or code on one storage medium is replicated on a new storage medium.

Data: Symbols or representations of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements.

Data Base: A set of data, consisting of at least one file or a group of integrated files, usually stored in one location and made available to several users at the same time for various applications.

Density: The number of bits in a single linear track measured per unit of length of the recording medium.

Disposition of Records: The changing of custody, location or existence of records including destruction.

Electronic: Relating to technology having electronic, digital, magnetic, wireless, optical, electromagnetic or similar capabilities.

Electronic Mail (e-mail) Messages: Documents that are created, stored and delivered in an electronic format. E-mail messages and their attachments are similar to other forms of communicated messages such as correspondence, memoranda, and circular letters. E-mail messages also contain features commonly associated with traditional records systems, including calendars, directories, distribution lists, and attachments such as word processing documents, spreadsheets, or images that are incorporated into an e-mail message.

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.

Electronic Record: A record created, generated, sent, communicated, received or stored by electronic means, including numeric, graphic, and text information recorded on any medium capable of being read by a computer which satisfies the definition of a record as defined in the Municipal Records Act.

Human Readable Format: Refers to the representation of information that can be read with the human eye and does not require machine (computer) assistance. Printed material, microfilm and microfiche are examples of human readable format.

Image: (1) A representation of information produced by light/radiant energy. (2) In electronic imaging, a digital representation of a document.

Information: Data and documents that have been given value through analysis, interpretation or compilation in a meaningful form.

Information System: The organized collection, processing, transmission and dissemination of information in accordance with defined procedures, whether automated or manual.

Magnetic Media: Variety of magnetically coated materials used by computers in electronic systems for data and program storage. This includes, but is not limited to: computer tapes, disks, diskettes and other electronic storage devices containing records.

Microfilm: (1) A fine-grain, high-resolution film used to record images reduced in size from the original. (2) A microform consisting of strips of film on rolls that contain multiple microimages. (3) To record microphotographs on film.

Microform: A form, usually film that contains microimages.

Migrating Electronic Records: Involves moving records from a currently used system or platform to a new one. Usually programs must be written and significant staff time must be allocated to accomplish a successful migration. High priority must

be given to assuring that all records are migrated and meet applicable standards.

Official Record Copy: A single copy of a record designated as the official record of a government transaction retained by its custodian in accordance with the appropriate records schedule.

Offline: Logically or physically disconnected from the computer. For example a reel of tape is offline storage.

Pixel: Smallest element of a display surface that can be independently assigned color or intensity.

Raster Computer Output Microfilm (R-COM): Device that produces microforms from any computer-managed pixel image storage device.

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).

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 municipality's functions and business transactions.

Records, Permanent: Records appraised by the Local Government Records Committee as having sufficient historical, administrative or legal value to warrant continued preservation.

Records, Vital: Records regardless of archival value that are essential to functions of government during and after an emergency. Also those records essential to protect the rights and interests of that organization and of the individuals

for whose rights and interests it has responsibility.

Records Management System: Organized collection of hardware, software, supplies, people, maintenance, training and policies to accomplish a set of specific functions.

Records Retention and Disposition Schedules: A comprehensive statement approved by the Local Government Records Committee showing retention periods and all actions to be taken with the respect to disposition of records.

Transmission Data: Information in e-mail systems regarding the identification of sender and addressee(s), and the date and time messages were sent.

5. Policy

5.1 Electronic records may be disposed of only in accordance with schedules approved by the Local Government Records Committee.

5.2 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.

5.3 Municipal officers are responsible for making provisions to retain either paper copies of permanently valuable electronic records, or making archival security microform copies to serve as a substitute. Archival security microform copies must be created and maintained in conformance with applicable standards approved by the Local Government Records Committee.

5.4 In those instances where an electronic record is the original medium for records scheduled for permanent retention, such as the

official recording of minutes, provisions must be made to provide paper copies of such records or to create archival security microfilm copies of the records. Provisions shall be made to protect permanently valuable databases such as indexes by converting the information to paper copy or archival security microfilm when the databases are moved offline. The use of raster computer output microfilm meeting appropriate standards is acceptable as the security copy (see ANSI/AIIM MS48).

5.5 Offices that receive and use confidential information, as defined by applicable laws, shall take appropriate measures to maintain the confidentiality of the records in order to protect the privacy of individuals, employees, taxpayers, clients or service recipients.

5.6 Municipal officers do not have to make provisions to retain non-permanent records in electronic format in a human readable form. However, municipal officers are strongly encouraged to consider the advantages of generating a microform copy of certain nonpermanent electronic records if they are of sufficient vital importance or when reformatting provides a more cost effective approach to the long-term maintenance of the records.

5.7 All records, whether created or stored on electronic systems must be retrievable and available for the retention period listed on records retention and disposition schedules approved by the Local Government Records Committee.

5.8 Municipal officers shall retain and dispose of e-mail messages and attachments that meet the definition of records in conformance with retention schedules approved by the Local Government Records Committee. E-mail messages and attachments that do not meet the definition of records and are not subject to litigation and other legal proceedings should be deleted immediately after they are read.

5.9 Records may be deleted from an e-mail system if their required retention period has expired or after they have been copied to a records keeping system. Records may be maintained on a manual or electronic record-keeping system. Records shall include transmission or receipt data.

5.10 When duplicate copies of e-mail messages are sent internally, the sender should be responsible for maintaining the official record copy for the full applicable retention period. Duplicate copies should be retained as long as they have administrative value and then deleted from the system.

5.11 E-mail messaging systems may be used as a document storage or records management system. Storing e-mail messages within an E-mail system including personal folders can be sufficient to meet required retention and disposition schedules, as long as adequate and appropriate backup procedures are in place. Electronic messages with retention periods that are permanent or which may be considered vital, shall be printed.

5.12 All copyright laws apply equally to e-mail (including attachments) or other electronic systems. Protection of copyrights requires the user to make to the greatest degree possible, a determination of authorship of any data utilized.

5.13 If a municipal government ceases to maintain the hardware and software necessary to satisfy the conditions of the policy and guidelines, records that are contained in the system will be deemed destroyed by the municipal government unless the existing records are converted to a human readable format or a format compatible with an electronic system that the municipality implements or continues to maintain.

5.14 The implementation and use of an electronic records-keeping system should not limit or hinder public access to public records.

6. Procedures

6.1 Municipal officers must maintain proper, up-to-date technical and system documentation for each information system that produces, uses, or stores electronic records. Minimum documentation required is: a narrative description of the system; physical and technical characteristics of the records; and any other technical information needed to read or process the records.

6.1.1 A municipal officer who maintains government records on electronic records-keeping systems must provide for the usability of image and index data over time by:

6.1.1a Providing a method for all authorized users of the system to retrieve desired records.

6.1.1b Provide an appropriate level of security to ensure integrity of the records.

6.1.1c Provide a standard interchange format when necessary to permit the exchange of records on electronic media using different software/operating systems and allow for the conversion or migration of records from one system to another.

6.1.1d Provide for the disposition of the records according to retention requirements approved by the Local Government Records Committee.

6.1.1e Establish procedures for regular copying, reformatting, and other necessary maintenance to ensure the retention and usability of electronic records throughout their required retention period.

6.1.1f Similar security precautions required of paper records must be employed when destroying or reusing electronic media that contain privacy-protected or confidential information. Electronic storage media containing such information must be

electronically wiped clean or physically destroyed in such a manner that the information cannot be reconstructed.

6.2 Before a record that will serve as the official copy is created and maintained on electronic systems, records must be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out the disposition of records in the system. Municipal officers should ensure that records maintained in such systems can be correlated with related records on paper, microfilm, or other media.

6.3 Municipal 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). In addition to the content, the following information shall also be retained: 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.

6.4 Municipal 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.

7. Legal Admissibility of Electronic Records

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

7.1 Document that similar kinds of records generated and stored electronically are

created by the same processes each time and have a standardized retrieval approach.

7.2 Substantiate that security procedures prevent unauthorized addition, modification or deletion of a record and ensure system protection against such problems as power interruptions.

7.3 Identify the electronic media on which records are stored throughout their lifecycle 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.

7.4 Coordinate all of the above with legal counsel, information managers, and records management staff.

8. Security of Electronic Records

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

8.1 Ensure that only authorized personnel have access to electronic records.

8.2 Provide for backup and recovery of records to protect against information loss. Documented disaster recovery plans and procedures shall be established for all electronic records systems. Disaster recovery plans and procedures should be reviewed and updated at least annually.

8.3 Ensure that municipal personnel are trained to safeguard sensitive or classified electronic information.

8.4 Minimize the risk of unauthorized alteration or erasure of electronic records.

8.5 Ensure that electronic records security is included in a computer systems security plan.

9. 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:

9.1 Specific requirements in selecting storage media.

9.1.1 Permit easy retrieval in a timely fashion.

9.1.2 Retain the records in a usable format for the length of their required retention period.

9.1.3 When appropriate, meet requirements for transferring electronic records to the State Archives.

9.2 The following factors shall be considered before selecting a storage media or when converting from one medium to another:

9.2.1 The required retention period of the records.

9.2.2 The maintenance necessary to retain the records in that format.

9.2.3 The costs of storing and retrieving the records maintained in that format.

9.2.4 The density of the record.

9.2.5 The access time necessary to retrieve stored records.

9.2.6 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.

9.2.7 Compliance of the storage medium with current industry and/or Federal standards if applicable.

9.3 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 library subsystems for storage media identification.

9.4 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.

9.5 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.

9.6 For the maintenance of magnetic computer medium, municipal officers shall follow industry and national standards for safeguarding information.

For additional information, contact:

Pennsylvania Historical and Museum Commission
Bureau of Archives and History
350 North Street Harrisburg, PA 17120-0090
RA-LocalGovernment@state.pa.us or
(717) 783-9874 or (717) 787-3913

Association for Information and Image
Management
1100 Wayne Ave, Suite 1100
Silver Spring, MD 20910
(301) 587-8202

STANDARDS FOR MICROFILMING MUNICIPAL RECORDS

1. Authority

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

2. Purpose

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

3. Scope

The standards relate to the filming, processing, inspection, handling and storage of microform copies, of records created by municipal offices covered by the Municipal Records Act. 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 Output Microforms are covered by the standards. Color films are not covered by the standards.

4. Definitions

AIIM. Acronym for Association for Information and Image Management. AIIM was founded in 1943 as the National Microfilm Association and later became the Association for Information and Image Management. AIIM is an ANSI (American National Standards Institute) accredited standards development organization. AIIM also holds the Secretariat for the ISO (International Organization for Standardization) committee focused on information management compliance issues.

ANSI. Acronym for the American National Standards Institute. ANSI is comprised of government agencies, organizations, companies, academic and international bodies, and individuals.

Aperture card: (1) A card with a rectangular opening(s) specifically prepared for the mounting or insertion of microfilm. (2) A processable card of standard dimensions into which microfilm frames can be inserted.

Archival quality: The ability of a processed print or film to permanently retain its original characteristics. The ability to resist deterioration.

Base: Transparent plastic material, usually of cellulose triacetate or polyester, upon which a photographic emulsion or other material may be coated.

Camera microfilm: First generation microfilm; also called the master film.

Computer-Output Microfilm (COM): Microforms containing data produced by a recorder from computer-generated electrical signals.

Dense (Density): (1) The light-absorbing or light-reflecting characteristics of a photographic image. (2) The relation of amount of text to non-text areas on a document.

Dots per inch (dpi): Measure of output device resolution and quality, e.g., number of pixels per inch on display device. Measures the number of dots horizontally and vertically.

Duplicate: (1) A copy of a microform made by contact printing or by optical means. (2) To make multiple copies of a document or

microfilm, usually with the aid of the master film or intermediate copies.

Emulsion: A single- or multi-layered coating consisting of light-sensitive materials in a medium carried as a thin layer on a film base.

Exposure: (1) The act of exposing a sensitive material to light/radiant energy. (2) The time during which a sensitized material is subjected to the action of radiation. (3) The product of radiation intensity and the time during which it acts on the photosensitive material.

Generation: One of the successive stages of photographic reproduction. The first generation is the camera film. Copies made from this first generation are second generation, etc.

Image: (1) A representation of information produced by light/radiant energy. (2) In electronic imaging, digital representation of a document.

ISO. Acronym for the International Organization for Standardization. ISO is the world's largest developer and publisher of International Standards. ISO is a network of the national standards institutes of 157 countries. ISO is a non-governmental organization that forms a bridge between the public and private sectors.

Jacket: A flat, transparent, plastic carrier with single or multiple film channels made to hold single or multiple microfilm images.

Master film: Any film, but generally the camera microfilm, used to produce further reproductions, such as intermediates or distribution copies.

Methylene blue: A chemical dye formed during the testing of archival permanence of processed microimages using the methylene-blue method.

Microfiche: A transparent sheet of film with microimages arranged in a grid pattern.

Microfilm: (1) A fine-grain, high-resolution film used to record images reduced in size from the original. (2) A microform consisting of strips of film on rolls that contain multiple microimages. (3) To record microphotographs on film.

Microform: A form, usually film, which contains microimages.

NAPM: Acronym for National Association of Photographic Manufacturers, Inc. Trade and technical information organization of photographic products manufacturers and suppliers. Also a standards developer for the fields of photography and optics both domestically and internationally. Standards secretariat and developer for ANSI/NAPM IT (Imaging Technologies) committees, ISO TC42-Photography and ISO TC172-Optics and optical instruments.

Negative-appearing image: An image in which the lines and characters appear light against a dark background.

NIST: Acronym for National Institute for Standards and Technology. Formerly known as the National Bureau of Standards (NBS), founded in 1901, NIST is a non-regulatory federal agency within the U.S. Department of Commerce.

Planetary camera: A type of microfilm camera in which the document being photographed and the film remain in a stationary position during the exposure. The document is on a plane surface at the time of filming. Also known as a flatbed camera.

Polyester: A transparent plastic made from polyesters and used as a film base because of its dimensional stability, strength, resistance to tearing and relative nonflammability.

Positive-appearing image: An image in which the lines and characters appear dark against a light background.

Processing: A series of steps involved in the treatment of exposed photographic material to make the latent image visible and ultimately usable, e.g., development, fixing, washing, drying.

Raster: Description of a rectangular or square array formed by a number of horizontal scan lines comprising a number of picture elements. The number of scan lines establishes the vertical dimension of the array and the number of picture elements forms vertical rows which establish the horizontal dimension of the array.

Raster COM (R-COM): Device that produces microforms from any computer-managed pixel image storage device.

Records, Permanent: Records which have been scheduled for permanent retention by the Local Government Records Committee or by applicable statute or regulation.

Records, Vital: Records, regardless of archival value, which are essential to functions of government during and after an emergency. Also, those records essential to the protection of the rights and interests of that organization and of the individuals for whose rights and interests it has responsibility.

Reduction ratio: The relationship (ratio) between the dimensions of the original or master and the corresponding dimensions of the microimage; e.g., reduction ratio is expressed as 1:24.

Residual thiosulfate ion: Ammonium or sodium thiosulfate (hypo) remaining in film or paper after washing. Synonymous with residual hypo.

Resolution: The ability of a photographic system to record fine detail.

Roll microfilm: Microfilm that is or can be put on a reel, spool or core.

Rotary camera: A type of microfilm camera that photographs documents while they are being moved by some form of transport mechanism. The document transport mechanism is connected to a film-transport mechanism, and the film also moves during exposure so there is no difference in the rate of relative movement between the film and the image of the document.

Safety film: A comparatively nonflammable film support (base) that meets ANSI requirements for safety film.

Silver film: A photographic film containing photosensitive silver compounds suspended in a suitable material. When developed, the image consists of metallic silver.

Silver halide: A compound of silver and one of the following elements known as halogens: chlorine, bromine, iodine, and fluorine.

Splice: A joint made by cementing, taping or welding (heat splice) two pieces of film or paper together so they will function as a single piece when passing through a camera, processing machine, viewer or other apparatus.

Target: (1) Any document or chart containing identification information, coding or test charts. (2) An aid to technical or bibliographic control that is photographed on the film preceding or following the document.

5. 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:

5.1 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.

5.2 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.

6. Creation of Archival Security Microfilm Copies of Permanent Records

6.1 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.

6.2 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.

6.3 An archival security microfilm copy is a copy which is created, used, inspected and stored in conformance with standards for archival security microfilm.

6.4 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.

7. Film Stock, Processing and Quality Standards for Archival Security Microfilm Copies of Permanent Records

7.1 Film: Stock Safety Photographic film as specified in NAPM IT9.1-1996 and ISO 18906:2000 having a maximum life expectancy (LE) rating of 500.

7.2 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 MS23-2004, *Standard Recommended Practice- Production, Inspection, and Quality Assurance of First-Generation, Silver Microforms of Documents*. 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).

7.3 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.

7.4 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, 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.

7.5 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 NAPM IT9.1-1996.

8. Identification, Technical, and Declaratory Targets for Roll Microfilm

8.1 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 AIIM X303 or an equivalent for planetary cameras; or AIIM X113 or the equivalent 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.**

8.2 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
- 11) Raster COM microforms should also contain a target stating the name of the conversion vendor; and a target indicating the dots 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)

9. 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.

10. Quality Control Practices and Procedures

10.1 Procedures to be followed in establishing and operating a microfilm program should conform to appropriate recommendations contained in ANSI/AIIM MS23-2004, *Standard Recommended Practice- Production, Inspection, and Quality Assurance of First-Generation, Silver Microforms of Documents*. Each camera negative shall be checked for proper identification targets, density, resolution and visual defects.

10.2 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:

10.2.1 The images are legible and can serve the purposes for which the original records were created or maintained.

10.2.2 Roll film contains all required identification, technical and declaratory targets.

10.2.3 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.

10.2.4 A Base-plus-Fog Density Reading (Dmin) for each roll.

10.2.5 The number of the pattern resolved from a reading of the resolution test chart and the reduction ratio on each roll.

10.2.6 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.

11. 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.

12. 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).

13. Storage Conditions for Archival Security Microfilm Copies of Permanent Records

The security copy shall be stored and inspected in conformance with ISO 5466:1996, ISO 18902:2001, and ANSI/AIIM MS45.

13.1 Maximum temperature should not exceed 21 degrees Celsius (69.8 degrees Fahrenheit) with a variation of no more than three degrees Celsius (five degrees Fahrenheit) within a 24-hour period. Relative humidity should be kept within 20 percent to 30 percent. Cycling of relative humidity should be no greater than plus or minus five percent over a 24-hour period.

13.2 Air-conditioning with filtration system shall be utilized to remove gaseous impurities.

13.3 Facility shall provide protection from fire, theft and natural disaster.

13.4 The security microfilm copy shall be maintained in a separate building from the user copy.

13.5 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.

13.6 Security copy shall not be stored with non-silver film.

13.7 As appropriate, a sampling of randomly selected microforms shall be inspected in conformance with ANSI/AIIM MS45. For each inspection period, a different lot shall be chosen allowing some overlap to note changes in previously inspected film.

14. Security Copies of Vital and Long-Term Records

14.1 The 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 5, 6, 7, 8, 9, 10, 11, 12 and 13.

14.2 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.

15. Short-Term Records

15.1 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: Sections 5, 7.2, 7.3, 7.4, 8, and 10.1.

16. 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
Bureau of Archives and History
350 North Street
Harrisburg, PA 17120-0090
RA-LocalGovernment@state.pa.us or
(717) 783-9874 or (717) 787-3913

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

1. 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.

2. Objectives

2.1 To integrate records maintained on optical disks into municipal records management programs.

2.2 To provide information needed by municipal officers to properly evaluate the effect of optical imaging and data storage systems on their operations.

2.3 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.

2.4 To reduce the risks associated with optical imaging and data storage system hardware and software obsolescence.

3. Scope

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

4. Definitions

AIIM: Acronym for Association for Information and Image Management, a trade association and professional society for micrographics, optical disk and electronic image management markets.

Algorithm: Mathematical formula or procedure.

ANSI: Acronym for American National Standards Institute. ANSI is a voluntary nonprofit consensus standards organization which coordinates private-sector standards activities and serves all industries and users in the United States.

Archival quality: The ability of a processed print or film to permanently retain its original characteristics, the ability to resist deterioration.

Binary: Pertaining to a system of numbers with a base of two.

Binary digit (bit): Represents the binary code (0 or 1) with which the computer works.

Bit-Map: Method of representing images by assigning an individual memory location for each picture element (pixel).

CCITT: Acronym for Consultative Committee for International Telegraph & Telephone. This group establishes international standards for telecommunications including the Group III and Group IV digital standards that cover data compression and decompression.

CD-ROM: Acronym for Compact Disk-Read Only Memory. Optical disk that is created by a mastering process and used for reading.

CD-WORM: Acronym for Compact Disk-Write Once Read Many. An optical disk that is user written and then available for reading.

Computer-Output Microfilm (COM): Microforms containing data produced by a recorder from computer-generated electrical signals.

Data: Symbols or representations of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements.

Data Base: A set of data, consisting of a least one file or of a group of integrated files, usually stored in one location and made available to several users at the same time for various applications.

Data Base Management System: A software system used to access and retrieve data stored in a database.

Data Compression: Conversion of a digital image to a lower number of bits for storage.

Dense (Density): (1) The light-absorbing or light-reflecting characteristics of a photographic image. (2) The relation of amount of text to non-text areas on a document.

Digital: Use of binary code to record information. "Information" can be text in a binary code, e.g. ASCII, or images in bit-mapped form or sound in a sampled digital form or video.

Digitize: Process of representing images as a matrix of picture elements (pixels), where each pixel is small enough that it can be considered homogeneous and represented by a numeric value, often just 0 or 1.

Dots per inch (dpi): Measure of output device resolution and quality, e.g., number of pixels

per inch on display device. Measures the number of dots horizontally and vertically.

Gray Scale: Array of adjacent neutral density areas varying by a predetermined rate or step from black to white and used to expose film to determine its sensitometric curve.

Image: (1) A representation of information produced by light/radiant energy. (2) In electronic imaging, digital representation of a document.

Image Conversion: In electronic imaging, the operation of converting a human readable image on paper or a microform to a bit-map.

Image File Headers: Analogous to a "table of contents" describing the set of scanned images stored on a disk. Data may include such items as the file size, compression formula, and image density and is used to link a user's request for an image to a specific location on the storage device.

Jukebox: Automated device for housing multiple optical disks and one or more read/write drives.

Optical Disk: Medium that will accept and retain information in the form of marks in a recording layer, that can be read with an optical beam. See also compact disk-read only memory, rewritable optical disk and write-once read-many optical disk.

Optical System: Essential and accessory optical elements designed to contribute to the formation of an image.

Pixel: Smallest element of a display surface that can be independently assigned color or intensity.

Raster: Description of a rectangular or square array formed by a number of horizontal scan lines comprising a number of picture elements. The number of scan lines establishes the

vertical dimension of the array and the number of picture elements forms vertical rows which establish the horizontal dimension of the array.

Raster-COM (R-COM): Device that produces microforms from any computer-managed pixel image storage device.

Records, Vital: Records, regardless of archival value, that are essential to functions of government during and after an emergency. Also, those records essential to the protection of the rights and interests of that organization and of the individuals for whose rights and interests it has responsibility.

Rewritable Optical Disk: Optical disk on which data is recorded. The data in specified areas can subsequently be deleted and other data can be recorded.

Scanner: Device that converts a document into binary (digital) code by detecting and measuring the intensity of light reflected from paper or transmitted through microfilm.

SCSI: Acronym for Small Computer Systems Interface – (pronounced “skuzzy”). Industry standard for connecting peripheral devices and their controllers to a microprocessor. Note: The SCSI defines both hardware and software standards for communication between a host computer and a peripheral.

System: Organized collection of hardware, software, supplies, people, maintenance, training and policies to accomplish a set of specific functions.

WORM: Acronym for Write Once Read Many. Digital optical disk on which data is recorded by the user once and can be read many times.

5. Policy

5.1 Records relating to optical imaging and storage systems, including systems

documentation may be disposed of only in accordance with schedules promulgated by the Local Government Records Committee.

5.2 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.

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

5.4 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).

5.5 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.

6. Optical Imaging and Data Storage Guidelines

6.1 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:

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

6.1.1a All information retention requirements and procedures established by the Local Government Records Committee are addressed during the system planning.

6.1.1b Where possible, systems should be built from hardware and software components that conform to non-proprietary and/or commonly accepted standards, and

6.1.1c 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.

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

6.1.2a 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.

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

6.1.3a Upgrade equipment as technology evolves and periodically recopy optical media as required, or

6.1.3b Recopy optical media (based upon projected longevity of the optical disk) every ten years, or

6.1.3c 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.

6.1.4 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:

6.1.4a Require use of a non-proprietary image file header label, or

6.1.4b Require the system developer to provide a bridge to a non-proprietary image file header label, or

6.1.4c Require the system developer to supply a detailed definition of image file header label structure.

6.1.5. 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:

6.1.5a 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.

6.1.5b Acquire a utility program that monitors the amount of disk space used to relocate data sectors as errors are detected, and

6.1.5c Ensure through systems operations procedures that current readability is maintained through periodic copying

when the relocation table reaches 70% capacity.

6.2 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:

6.2.1 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:

6.2.1a Ensure that the optical system receives periodic maintenance,

6.2.1b Ensure that the optical drives are recalibrated annually or more frequently based upon an “hours in use” formula,

6.2.1c Ensure that quality control evaluation of each scanned image and related index data is performed prior to writing image data to optical media,

6.2.1d Evaluate the scanner quality based on standard procedures recommended in ANSI/AIIM MS44-1988 (R1993).
Recommended Practice for Quality Control of Image Scanners.

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

6.2.2a Employ a scanning density of 200 dots per inch (dpi) for office documents that contain no type fonts smaller than six (6) point,

6.2.2b 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

6.2.2c Validate the selected scanning density with actual document tests.

6.2.3 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:

6.2.3a Verify scanner capability and hardware modification requirements by conducting a test of selected documents.

6.2.4 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:

6.2.4a Restrict the use of gray scale to continuous tone photographs except in those instances where the use of grey scale promotes readability of text documents.

6.2.5 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:

6.2.5a 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.

6.2.6 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:

6.2.6a Require that digital imaging and data storage systems support the prevailing CCITT standards, but

6.2.6b 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.

6.3 Municipal officers must provide for the **continuing functionality of system components** over time by:

6.3.7 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:

6.3.1a Require an open systems architecture for new optical media applications, or

6.3.1b Require vendors to provide a bridge to systems with non-proprietary configurations.

6.3.2 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 is 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:

6.3.2a Require system upgrades or new systems to provide backward compatibility to the existing system, or

6.3.2b 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.

6.3.3 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:

6.3.3a Require system manufacturers and integrators to provide complete documentation about the specific hardware and software SCSI interface used.

6.3.4 Location of Index Database: To ensure that the index information will not be lost, a municipal officer must:

6.3.4a For processing purposes, store index data on the system's mass storage device (i.e., hard drive), or

6.3.4b For fail-safe indexing, write index data for each optical disk at multiple locations on that disk.

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

6.3.5a 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

6.3.5b Document all aspects of the design in 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.

6.4 Municipal officers must **provide for the stability of optical media**, by:

6.4.1 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:

6.4.1a Require the use of WORM technology for records of long-term legal, financial or archival research value, and

6.4.1b Ensure that read/write privileges are carefully controlled and that an audit trail of rewrites is maintained when rewritable technology is used.

6.4.1 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:

6.4.2a Use polycarbonate, tempered glass or aluminum substrates.

6.4.2 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 refilling 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:

6.4.3a When rapid access or physical control of numerous optical disks is required, or

6.4.3b When a large volume of records is to be stored, or

6.4.3c When multiple users or networking to various offices may dictate its use.

6.4.3 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:

6.4.4a Require the acquisition and use of optical media with a pre-write shelf life of at least five years, and

6.4.4b Require the use of optical media with a minimum of post-write life of twenty years based upon accelerated aging tests that apply to specific locations of the media surface.

6.4.4 Storage Environment. Optical media should be stored in a protected environment. Therefore a municipal officer must:

6.4.5a 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.

6.4.5b Not locate optical systems near areas of electromagnetic radiation, such as transformers, or areas of high radio frequency radiation.

6.4.5c 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
Bureau of Archives and History
350 North Street
Harrisburg, PA 17120-0090
717-783-9874 or 717-787-3913 or
RA-LocalGovernment@state.pa.us

ADMINISTRATIVE AND LEGAL RECORDS

AL-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 subject 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. Files may include items such as technical or professional publications maintained solely for reference purposes that are not considered to be “records” under the Municipal Records Act.

(1) Records that summarize the origin and administration of major municipal policies and programs.

Retain permanently for administrative and historical purposes.

(2) Routine correspondence and program files, and housekeeping records.

Retain as long as of administrative value.

AL-2 Agendas

Includes agendas for meetings of governing bodies, boards, agencies and committees.

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

AL-3 Annexation, Consolidation and Boundary Change Records

Retain permanently for administrative, legal and historical reasons.

AL-4 Bonds, Performance and Security

Includes bonds required of employees or contractors.

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

AL-5 Bylaws, Regulations and Rules of Order

Retain until superseded or revoked.

AL-6 Cemetery Records

Includes burial/ exhumation/ removal records; lot location files; and lot ownership records.

Retain permanently for administrative, legal and historical purposes.

AL-7 Charters and Related Records

Retain permanently for administrative, legal and historical purposes.

AL-8 Contract Files

Includes advertisements, instruction to bidders, specifications, bids and proposals, bid summary and tabulation sheets, signed original contracts, instructions to bidders, leases or agreements, certified payrolls and other supporting work papers.

(1) Bids, Proposals, Price Quotations and Qualified Contractor Memoranda

If successful - **Retain** 6 years after termination of general written contracts. **Retain** records related to construction contracts 12 years after termination.

If unsuccessful - **Retain** 3 years after job completion.

(2) Contracts and Agreements

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

AL-9 Deeds to Municipal Property and Related Land Records

Includes date, names of grantors and grantees, property description and location, amount of sale, conditions and terms of deed, date recorded and signature of Recorder.

Retain permanently for administrative, legal and historical purposes.

AL-10 Disaster plans for Municipal Facilities

Includes information on disaster response team, emergency procedures, records priorities, rehabilitation/recovery methods, and may include information on supplies and services as well as floor plans.

Retain until superseded or obsolete.

AL-11 Easements

Used to document the municipality's right to limited use of private property. shows date, names and signatures of parties involved, location of property and terms of agreement.

Retain permanently for administrative, legal and historical purposes.

AL-12 Election Records

(1) Certificates of Election

Retain 11 months. **Retain** Federal election records 22 months.

(2) Certifications for Referenda

Retain permanently.

(3) Notice of Nominations to be made

Retain 11 months. **Retain** Federal election records 22 months.

(4) Ethics Commission Statements of Financial Interest

Required by the State Ethics Commission. Shows name and address, office sought, occupation, names and occupations of spouse and minor dependent children, financial disclosure information and signature.

Retain 5 years.

AL-13 Executive Vetoes and Veto Messages

Retain permanently

AL-14 Grant Administration Records

Includes fiscal and program records.

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

AL-15 Hazardous Substance Survey Forms (HSSF)

Indicates hazardous substances present at workplaces and their chemical abstract service numbers, chemical names, and physical and health hazards. Required by the Pennsylvania Department of Labor and Industry, Worker and Community Right to Know Program.

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 **Personnel Records**, Individual Employee Medical Records).

AL-16 Historic Preservation Documentation (Submitted to Pennsylvania Historical And Museum Commission)

(1) Environmental Review Papers

Retain 8 years.

(2) Historical and Architectural Information Inventory/Survey Data

Retain permanently for administrative and historical purposes.

(3) National Register of Historic Places Documentation

Retain permanently for administrative and historical purposes.

AL-17 Insurance Claims and Policies

Includes policies or contracts of insurance, claims and supporting papers for liability, property and other areas of municipal operations.

Retain claims 6 years after final settlement. **Retain** policies, contracts and supporting papers 6 years after expiration, provided all claims have been settled.

AL-18 Legislative Investigation Records

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

AL-19 Litigation Case Files

Contains papers relating to all types of cases litigated on behalf of the municipality by the solicitor.

(1) Case Files

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

(2) Opinions

Retain permanently for administrative and legal value.

AL-20 Liquid Fuel Tax Records

Usually consists of copies of vouchers and cancelled checks, bank statements, bills, correspondence with the Pennsylvania Department of Transportation regarding aid applications and other records pertaining to the use of Liquid Fuels Tax Funds.

Retain 7 years.

AL-21 Mailing Lists

Retain until superseded or obsolete

AL-22 Master Property and Equipment/Fixed Assets Inventories

Listing of all municipal-owned equipment and physical property. May include equipment lists, serial or model numbers, purchase costs, insurance records, expenditures and year purchased. "Fixed assets" involves property used for the production of goods and services, such as machinery, mineral resources, buildings etc.

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

AL-23 Material Safety Data Sheets(MSDS)

Includes information supplied by manufactures on all hazardous substances in particular products used in the workplace in conformance with section 4 of Act (35P.S.7304). Indicates product identification; ingredients; fire, explosion and reactivity data; environmental and precautionary information; health hazard data; and suggested first aid. Used to comply with the U.S. Department of Labor, Occupational Health and Safety Regulations.

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 **Personnel Records**, Individual Employee Medical Records).

AL-24 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 Boards; Pension Board, Planning Commission, Shade Tree Commission and Zoning Hearing Board). Includes all records accepted as part of the minutes.

Retain permanently for administrative, legal and historical purposes.

AL-25 Municipal Lien Files

Liens filed by a municipality to secure payment for taxes or other purposes.

Retain 1 year after satisfaction.

AL-26 Municipal Obligations

Relates to the financing of municipal projects through bonded indebtedness and loans. May include applications, proposals, correspondence, and the original financial instruments.

(1) Bonds and Coupons

Retain 6 years after cancellation.

(2) Bond Ledgers and Books

Retain permanently for administrative and legal purposes.

(3) Canceled Notes

Retain 6 years.

(4) Loan Files

Retain 6 years after final payment on loan.

AL-27 Municipal Records Disposal Certification Request Forms

Submitted to the Pennsylvania Historical and Museum Commission

Retain permanently for administrative, and legal purposes.

AL-28 Notices of Violation of Municipal Ordinance

Includes notice of violation, correspondence and resolution.

Retain 30 days after issue is settled or resolved.

AL-29 Oaths of Municipal Officials

Retain 6 years.

AL-30 Permits and Licenses

Business or special event license or permit issuance records covering vendors, peddlers, trash collectors, flea markets, yard sales, entertainment and recreational events, explosive license records or other local legislation and similar permit applications.

Retain 3 years after expiration of license or denial of application.

AL-31 Petitions

Retain 5 years. **Retain** permanently those resulting in an ordinance or charter change.

AL-32 Photographs

Includes photographs of municipal officials, buildings, public celebrations, etc.

Retain as long as of administrative value; then contact State Archives regarding historical value.

AL-33 Press Release

Announcing matters relating to the municipality's business or administrative operations, the release indicates date, details of the event or activity and officials involved.

Retain as long as of administrative value.

AL-34 Proclamations and Letters of Commendation

Includes official proclamations relating to municipal events and letters of commendation for employees, citizens etc.

Retain permanently for administrative and historical purposes.

AL-35 Public Meeting/Hearing Notices and Proof of Publication

Notice contains information such as meeting date, location and time. Proof of publication includes documentation verifying that proper public notice was given.

Retain 10 years

AL-36 Recycling Program Records

Retain 10 years.

AL-37 Reports

(1) Annual Municipal and Municipal Department/Board/Commission Reports.

Retain permanently for administrative, legal and historical purposes if not part of the minutes.

(2) Quarterly, Monthly and other Periodic Routine Activity Reports.

Retain as long as of administrative value.

AL-38 Real Estate Registry Records

Maps, plans, books and relating documentation showing the situation and dimensions of all property located in a municipality.

Retain permanently.

AL-39 Request for Service Records

Includes nature of request, name of respondent, and resolution.

Retain 1 year after satisfaction of request.

AL-40 Resolutions and Ordinances

Consists of resolutions and ordinances indicating date, issue or policy involved, and appropriate signatures. Relates to various aspects of municipal administration and business.

Retain permanently for administrative, legal and historical purposes.

AL-41 Roster of Officials (Submitted to The Pennsylvania Department of Transportation)

Information includes name of municipal official, title, contact information, political affiliation and term end date.

Retain permanently.

AL-42 Sales and Use Tax Exemption Certificates

Department of Revenue form includes type of expenditure, name and address of municipality, official's title and signature.

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

AL-43 Survey of Financial Condition Forms (Submitted to Pennsylvania Department of Community and Economic Development)

Retain 3 years.

AL-44 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.

AL-45 Treasurers' Bond Certifications (Submitted to the Pennsylvania Department of Transportation)

Includes name, municipality, amount of bond, surety company, date, and signatures.

Retain 7 years.

EMERGENCY SERVICES RECORDS

ES-1 Audio Tapes and Logs

Consists of recordings and lists of all incoming and outgoing calls on the emergency radio system.

Retain tapes 45 days unless being held as evidence. **Retain** logs 3 years after last entry. (Record custodians may wish to consult their legal counsel before these records are disposed of regarding any potential legal value. Incidents involving minors, casualties, serious injury, homicides, fires or any matter under investigation or unsolved law enforcement cases may necessitate retention of data relating to these incidents longer for ongoing legal needs.)

ES-2 Comprehensive Emergency Management Plan and Records

Includes description of comprehensive emergency programs and provides for overall coordination of activities during emergencies or major disasters. Contains information on operations, organization and personnel, administration, logistics and training programs.

Retain 3 years after superseded.

ES-3 Emergency Medical Treatment Records (Trip Reports)

Reports indicates pre-hospital care and assessment for patient transported to the hospital by ambulance. Generally shows date, patient's name and address, and treatment provided.

Retain 7 years.

ES-4 Incident Cards/Reports

Completed by dispatcher, record generally includes date, time, caller's name and address, description of incident and action taken.

Retain 3 years. (Record custodians may wish to consult their legal counsel before these records are disposed of regarding any potential legal value. Incidents involving minors, casualties, serious injury, homicides, fires or any matter under investigation or unsolved law enforcement cases may necessitate retention of data relating to these incidents longer for ongoing legal needs.)

ES-5 Quality Assurance Reviews

Consists of studies of problem cases used to determine whether adequate pre-hospital treatment and assessment were provided.

Retain 10 years.

ES-6 Radio Dispatcher's Logs

Daily record consisting of dispatcher's notes or observations on equipment problems or unusual events during shift.

Retain 3 years after last entry.

FINANCIAL AND PURCHASING RECORDS

FN-1 Account Distribution Summaries (Treasurer's Report)

Includes records showing a summary of receipts, disbursements and other activity against each account.

Weekly/Monthly- **Retain** 3 years.

Year-End – **Retain** 7 years.

FN-2 Accounts Payable Files and Ledgers

May contain bills, check vouchers, invoices, purchase orders and requisitions, receiving reports and other records of payment for goods and services. Used to document monies spent by the department or cost center.

Retain 7 years.

FN-3 Accounts Receivable Files and Ledgers

Used to document monies owed and paid to the municipality. Generally shows date, department or fund, amount received and account totals.

Retain 7 years.

FN-4 Annual Audit and Financial Reports

Including Elected and Appointed Officials, Survey of Financial Condition and Tax Information submitted to the Pennsylvania Department of Community and Economic Development.

Retain 5 years.

FN-5 Annual Budgets and Related Records

Usually includes final budget as approved, departmental requests, review files, correspondence and related papers.

Retain one copy of the annual budget permanently. **Retain** all other related papers 7 years.

FN-6 Audit Reports-Official

Record of examination of municipal finances prepared by internal or external auditors. Usually includes financial statements showing the status of all funds and accounts.

Retain Permanently.

FN-7 Audit Workpapers

Consists of accounting notes and papers used in preparation of official audit reports.

Retain current plus 3 prior audit cycles.

FN-8 Balance Sheet

Lists assets and liabilities, and shows the financial condition of the municipality on the last day of the accounting period.

Retain 7 years.

FN-9 Bank Statements and Reconciliations

Prepared by banks, record indicates date, municipal deposits and withdrawals, and account totals.

Retain 7 years.

FN-10 Cancelled Checks

Consists of checks that have been paid by the bank and returned to the depositor as evidence that the payee has received the funds.

Retain 7 years.

FN-11 Check Registers

Usually shows date, check number, vendor name or number, gross amount, discount and final amount of check.

Retain 7 years.

FN-12 Daily Cash Records

Indicates daily cash balances, receipts and disbursements for each department.

Retain 3 years.

FN-13 Deposit Slips

Consists of copies of slips listing and accompanying bank deposits showing date, account, check numbers and amounts

Retain 7 years.

FN-14 Depreciation Schedules

Used for planning equipment expenditures and budgeting, record indicates depreciation allowances for age or wear.

Retain for life of equipment plus 3 years.

FN-15 Expense Reports (Employee)

Contains record of expenditures by employees traveling on official business. may also include receipts, permission slips or authorization forms, and other records relating to travel expenses.

Retain 7 years.

FN-16 Financial Statements

Usually indicates date, account, receipts, expenditures (actual and budget) and balances.

Periodic-**Retain** until final completion of audit.
Certified by auditor- **Retain** permanently.

FN-17 Investment Records

Includes records relating to original financial instruments executed to invest municipal funds showing amount of certificate, term and rate of interest.

Retain 6 years after cancellation.

FN-18 Purchase Order Files

Copy of purchase order usually shows number, name and address of vender, department and account, date, quantity, unit price and total cost. File may also include invoices, bills of lading and purchase requisitions.

Retain 7 years.

FN-19 Purchasing Files

Relates to acquisition of services, goods and equipment. File may include specifications, bids, quotes, contracts and other related papers.

Retain 6 years.

FN-20 Supply Requisitions

Usually indicates date, department requesting supplies, items needed, total cost and account number.

Retain 2 years.

FN-21 Surplus Property Logs

Consists of inventory control logs listing surplus property by item. May include description, inventory number, cost, year purchased and date inventoried.

Retain until suspended or obsolete.

FN-22 Surplus Property Sale Files

Contains legal advertisements, quotes or offers from vendors, inventory of sale items, receipts or transmittals for funds received and title transfers.

Retain 3 years.

FN-23 Utility and Paid Service Receipts

Retain 7 years.

FN-24 Vendor Files

Includes vendor's name and address, product and service information, vendor identification and name of contact person.

Retain until superseded or obsolete.

FN-25 Voucher Files

Record generally shows number, date, description of goods or services, and amount. Copy of check or check request is usually attached and indicates date, department, vendor name and amount.

Retain 7 years.

FIRE RECORDS

FR-1 Annual Fire Loss Records

Retain permanently.

FR-2 Certification of Service

For paid and volunteer fire fighters. Submitted to the Office of Auditor General.

Retain current report plus two prior audit cycles.

FR-3 Daily Activity Records

Records pertaining to staff activity, including assignment sheets, reports, sign-in logs, and work schedules. Serves as a time record.

Retain 3 years.

FR-4 Daily Bulletins/Blotters/Dispatcher's Logs

Lists time and location of all calls received for fire services. Chronological summary of departmental activities.

Retain 3 years after last entry.

FR-5 Drill Reports

Retain 7 years.

FR-6 Incident Reports

(1) Reports dealing with serious incidents or major issues such as status of equipment, facilities, or personnel performance.

Retain permanently.

(2) Reports on routine activities or other periodic reports.

Retain 3 years

FR-7 Equipment Assignment Records

Retain as long as of administrative value.

FR-8 Fire Codes and Ordinances

Retain permanently.

FR-9 Fire Safety Inspection Records

(1) Automated sprinkler system records.

Retain until superseded or obsolete.

(2) Building surveys and inspection records and notices of violations.

Retain 10 years.

FR-10 Hydrant Records

(1) Location listings and maps.

Retain until superseded or obsolete.

(2) Major maintenance/testing records.

Retain 2 years after hydrant is removed or replaced.

FR-11 Fire Investigation Case Files

(1) Arson investigation records, disaster or casualty records or records of major fires or significant fires of suspicious origin or fires resulting in death and/or injury.

Retain permanently.

(2) Routine fire investigation records.

Retain 10 years after cause determined.

FR-12 Maintenance Records

(1) Equipment and maintenance logs/inspection reports.

Retain for life of equipment or transfer with vehicle if appropriate.

(2) Fire alarm box test records.

Retain 2 years after box is removed or replaced.

FR-13 Permits and Related Applications

Includes permits for blasting, fireworks display, open burning, and other hazardous operations.

Retain 3 years after expiration/revocation.

INFORMATION TECHNOLOGY RECORDS

IT-1 Computer Inventory Records

Records documenting the assignment of a specific computer to an individual as well as inventories of licensed software, may include address or mailbox data assigned to the individual.

Retain 4 years after computer removed from service or is reassigned.

IT-2 Computer Systems Documentation

Hardware and software manuals and program coding.

Retain 1 year after migration of all records with ongoing value to new system.

IT-3 Equipment and Network Usage Documentation

Policies and procedures for appropriate use of agency equipment and software including those covering access and security, systems development, and data retention and disposition.

Retain 1 year after updated or superseded.

IT-4 Equipment Records

Includes purchase orders, warranties, service contracts, service histories and correspondence.

Retain for life of equipment.

IT-5 Computer Usage Files and Reports

Electronic files or automated logs created to monitor computer system usage including but not limited to login files, system usage files, data entry logs, records of individual computer program use and reports detailing department costs.

Retain for 1 year.

IT-6 Network and PC Password and Security Identifications

Records documenting the issuance or selection of a network password and the administration of security of the agency's network.

Retain 1 year.

IT-7 System Architecture Documents and Wiring Schemas

Records documenting the location of wiring and the design of the overall agency network environment.

Retain for life of network.

IT-8 Operating System and Hardware Conversion Plans

Records relating to the replacement of equipment or computer operating systems.

Retain 1 year after successful conversion.

IT-9 Disaster Preparedness and Recovery Plans

Records related to the protection and reestablishment of computer services and equipment in case of a disaster.

Retain until superseded or revised.

IT-10 System Backup Files

Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of disaster.

Retain until superseded.

IT-11 Security Records

Records used to control or monitor the security of a computer system and its data, including but not limited to information relating to firewalls, intrusion detection, unauthorized access and other security measures.

Retain 1 year.

IT-12 Input Documents

Copies of records or forms designed solely for input into the system when the original records are retained by the originating office.

Retain as long as of administrative value.

IT-13 User Requests for IT Services

Records used to document the requests for technical assistance and responses to these requests.

Retain as long as of administrative value.

IT-14 Network Implementation Project Files

Records used to plan and implement a network including reports, justifications, and working diagrams of proposed network.

Retain until superseded.

LIBRARY RECORDS

LI-1 Book and Materials Inventories

Complete listing of the library's holdings including books, periodicals, films and other materials available at the library.

Retain until superseded or obsolete.

LI-2 Book Purchase and Disposal Records

Listing of books, periodicals, films and other materials added to or deleted from the library's holdings.

Retain 2 years.

LI-3 Circulation Records

Consists of daily, weekly, monthly and annual circulation statistics.

Retain 2 years. **Retain** annual statistics permanently if not incorporated in annual report.

LI-4 Patron Registration Files

Master listing of library patrons. Information includes date, patron's name, address and telephone number, and expiration date of card.

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

LI-5 Reports to the State Library

Retain permanently.

LI-6 Rules and Regulations

Includes rules and regulations relating to use of the building and the collections.

Retain 5 years after revoked or superseded.

PARKS AND RECREATION RECORDS

PR-1 Accident/Incident Reports

Includes reports of accidents, and unusual happenings or infractions of rules occurring within municipal parks.

Retain 3 years.

PR-2 Citations

Copy of citation issued by park personnel to persons who violate rules and regulations showing date, name of offender and offence.

Retain 3 years.

PR-3 Operation and Maintenance Records

Contains records of operation and maintenance of sites and equipment showing date, problem and repair work performed.

Retain 5 years.

PR-4 Park Planning Files

Includes master plans and working plans for each park. Shows layout, topography and proposed improvements.

Retain permanently.

PR-5 Park Program Files

Contains records relating to events, activities or special programs at municipal parks.

Retain 2 years.

PR-6 Park Rules and Regulations

Consists of rules and regulations relating to use of park facilities and equipment.

Retain 5 years after revoked or superseded.

PR-7 Park Use Records

Includes records relating to use of park facilities such as tennis courts, golf courses, athletic fields and playgrounds.

Retain 3 years.

PR-8 Public Bathing Facilities

Includes operational data, chemicals used, chlorination levels, and other information relating to pool maintenance and safety personnel. Also contains inspections, notices of violations, service requests, enforcement records, laboratory results, operational reports, complaints, and correspondence.

Retain 4 years.

PAYROLL RECORDS

PL-1 Cancelled Payroll Checks

Retain 7 years .

PL-2 Employee Payroll Adjustment Records

Usually includes employee's name and social security number and amounts withheld for Federal and State taxes, insurance, bonds and any other deductions.

Retain 4 years.

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

Salary history includes employee's name and address, social security number, department, position, date of birth, date employed, and salary/earnings history totals posted for the duration of employment.

Employees Who Separate With Post-Termination Benefits

Retain 5 years after all benefits have been paid if not part of personnel files.

Employees Who Separate Without Post-Termination Benefits

Retain 5 years after termination of employment.

PL-4 Payroll Deduction Authorizations

Completed by employee, the record usually indicates employee's name and address, department, social security number, deductions authorized and employee's signature.

Retain 4 years after cancelled or superseded.

PL-5 Payroll Earnings and Deductions Registers:

Generally includes employee's name and social security number, gross earnings, taxes withheld, deductions, net earnings, check number and date of employment.

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** 50 years.

PL-6 Payroll Voucher (Check) Registers

Shows date, check number and amount, employee's name and social security number, and department.

Retain 7 years.

PL-7 Pension Files – Individual Employees

Contains records relating to status of individual pension accounts including beneficiary information, contributions, withdrawals and any other actions relating to the account.

Retain 3 years after all benefits have been paid.

PL-8 Pension Plan Data Sheets (Submitted to Pennsylvania Public Employee Retirement Commission)

Includes type of plan, name of employee, wages, date of birth, date of hire, date of release, amount of contributions to the plan and signature of administrative officer.

Retain 10 years.

PL-9 Pension Plans– Annual Summary Records

Includes summary data compiled annually to document the employment history of employees, their eligibility for pension benefits, and the payment of benefits.

Retain permanently for administrative purposes .

PL-10 Pension Plans - Administration Records

Shows terms and conditions of pension benefits payable to eligible retired employees. May also include actuarial evaluations, reports, data sheets and other records used to administer the plans.

Retain 6 years after termination of plan.

PL-11 Quarterly Returns of Withholding of Federal Income Tax

Includes reports showing Federal Income taxes withheld from employee's pay by quarter.

Retain 4 years.

PL-12 Quarterly Statements of State and Local Taxes Withheld

Consists of reports showing state and local taxes withheld from employee's pay by quarter.

Retain 4 years.

PL-13 Social Security Reports

Shows social security withholdings from employee's pay. Indicates employer's name, reporting period, number of employees, wages paid and contributions to the fund.

Retain 4 years.

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

Usually indicates employee's name, date, and hours worked each day.

Retain 3 years.

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

Includes quarterly reports showing unemployment compensation contributions paid by municipality and wage reports indicating social security numbers, employees' names and total wages.

Retain 4 years after contributions have been paid.

PL-16 Wage and Tax Statements (W-2 Forms)

Shows employer's name and address; employee's identification and social security numbers, name and address; gross earnings; and amounts withheld for Federal, State and local taxes.

Retain 4 years after due date of tax.

PL-17 Withholding Allowance Certificates (W-4 Forms)

Indicates employee's name and address, social security number, exemptions and signature.

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

PL-18 1099 Forms (Employer's copy of U.S. Information Return for Calendar Year)

Retain 4 years

PERSONNEL RECORDS

PS-1 Administrative Organizational Charts

Charts show organizational breakdowns for offices and departments.

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

PS-2 Applications for Employment (Not Hired)

Includes employment applications, resumes, and other pre-employment records for persons not hired.

Retain 2 years.

PS-3 Civil Service Commission Records (Other Than Those Filed in Individual Personnel Folders)

May include announcements, test outlines, examination histories, eligibility lists, correspondence, and other related papers.

Retain as long as administrative value.

PS-4 Commercial Drivers License Records (CDL)

May include job applications, driver information, employment record, drug test results, accident reports, reviews and summaries, I-9 forms, violations and supervisor training records.

Comply with retention requirements promulgated by the appropriate licensing agency .

PS-5 Emergency Information Sheets

Retain most recent update for tenure of employee.

PS-6 Employee Health Insurance Claim Files

Includes claims submitted by employees for reimbursement of medical expenses incurred under health care coverage. May also contain supporting papers such as physician's statements.

Retain 5 years after settlement of claim.

PS-7 Employee Medical Records

Includes pre-employment physicals and other medical records showing the health or physical condition of employees during their tenure of employment.

Retain same length of time as 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 **Administrative and Legal Records**, Hazardous Substance Survey Forms and Material Safety Data Sheets).

PS-8 Employee Personnel Records

Includes Applications for Employment, Commendations, Correspondence, Health Insurance Membership Applications, I-9 Forms, 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 summary information including employee's name, address, date of birth, Social Security number, job and salary history, benefit information, and termination data permanently if not maintained in a separate file.

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

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).

PS-9 Equal Employment Opportunity Records

Includes affirmative action report (EEO-4) showing total number of job positions broken down by employment classifications, and related records as well as official discrimination complaint files.

Retain compliance reports and related records 3 years. **Retain** official discrimination complaint case files 4 years after resolution of case.

PS-10 Job Descriptions and Announcements

Consists of narrative descriptions of the duties and responsibilities of employees.

Descriptions – **Retain** current plus one prior revision.
Announcements – **Retain** 2 years after position has been filled.

PS-11 Labor Negotiations Files

Contains correspondence, reports and other documents used to negotiate contracts with labor unions representing employees.

Retain 5 years after expiration of contract.

PS-12 Labor Union Contracts

Negotiated with labor unions representing employees, the record includes date, terms of agreement and signatures of appropriate officials.

Retain 20 years after expiration.

PS-13 Union Grievances

Filed by employees represented by labor unions alleging violations of the contract. Record usually indicates date, parties involved, and grievance.

Retain 3 years after final resolution.

PS-14 Worker's Compensation Records

Consists of employer's report of occupational injury or disease, hospital statements, doctor's reports, correspondence and other papers relating to claims.

Retain 4 years after the signing of final settlement receipt, or 4 years after death of recipient. **Retain** 10 years if suspension agreement has been filed.

**PLANNING AND BUILDING/ZONING
CODE ENFORCEMENT RECORDS**

PZ-1 Aerial Photographs

Taken for planning or study purposes, photographs show rivers, streams, towns, cities, bridges, transportation systems and other features.

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

PZ-2 Building and Housing Construction Records

Includes plans, specs, permits, inspections, plan reviews, certifications, and verifications of payment for non residential or single family homes.

Retain records relating to commercial buildings and structures 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).

PZ-3 Building Permits and Applications

Generally includes name of municipality, permit number, date, owner's name and address, contractor's name, lot number and size, description of proposed work or use, construction cost, information on sewage and road encroachment permits, and signature of applicant.

Retain records relating to commercial buildings and structures 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).

PZ-4 Certificates of Use and Occupancy

Information includes permit number, date, property location, owner's name and address, zoning district, how the property is to be used, inspection information, building code edition, and signature(s) of enforcing authority.

Retain permanently for administrative and legal and historical purposes.

PZ-5 Complaints, Citations, Notices of Violations, and Investigations

Includes nature of complaint, details of incident, investigation information and disposition.

Retain 3 years after final disposition.

PZ-6 Comprehensive Master Plans

Master development plan adopted by the municipality or the county. Refers to land use, economic development, population, housing needs, utilities and services, environmental and human services, and community facilities.

Retain permanently for administrative, legal and historical purposes.

PZ-7 Contractors' Licensing Records

Includes copies of plumbers, electricians and other trade licenses, applications for licenses and tests to determine licensing.

Retain 7 years.

PZ-8 Demolition Permits and Applications and Condemnation Records

Includes notice of condemnation, name of municipality, permit number, site plan, date, owner's name and address, demolition contractor's name, lot number and size, and signature of applicant.

Retain permanently.

PZ-9 Economic Development and Redevelopment Files

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

PZ-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.

PZ-11 Maps and Plats

May include the following categories of maps: community facilities, zoning, flood plain, geologic survey, land use, subdivision, topographic, and water and soil.

Retain one copy permanently for administrative, legal and historical purposes. **Retain** other copies until superseded or obsolete.

PZ-12 Ordinance Amendment Reviews

File includes copies of ordinances and amendments relating to zoning, floodplain, subdivision and land use, related documentation and the Board's recommendations.

Retain permanently for administrative, legal and historical purposes.

PZ-13 Planning Commission Board Minutes

Official record of the Planning Commission meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

PZ-14 Planning Studies and Surveys

Consists of reports related to all aspects of planning such as storm water management, housing, parks and open space guidelines, mass transit, traffic, community facilities, population and business development.

Retain permanently for administrative and historical purposes.

**PZ-15 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.

PZ-16 Subdivision and Land Development Reviews and Approvals/Disapprovals

File includes applications, official review, approval or disapproval, plot plans, storm water management plans, financial security and development agreements, memoranda, notes and correspondence.

Retain application form, official review and report, approval or disapproval, plot plans, engineering drawings, and financial security and development agreements permanently.

Retain other records as long as of administrative value.

PZ-17 Zoning Court Cases

Consists of records documenting the municipality's position on zoning cases that are heard before the courts.

Retain permanently for administrative, legal and historical purposes.

PZ-18 Zoning Hearing Board Applications

Usually indicates petitioner's name and address, property location, description of requested proposed use or change, variance, or special exception, reasons for petition and signature of petitioner.

Retain 3 years after final decision.

PZ-19 Zoning Hearing Board Decisions

Includes decision, findings of fact, conclusions of law and reasons therefore. Signed by chairperson of Zoning Hearing Board.

Retain permanently for administrative, legal and historical purposes.

PZ-20 Zoning Hearing Board Minutes

Official record of the Zoning Hearing Board meeting, including date, names of members present and absent, issues discussed, appeals heard and decisions made.

Retain permanently for administrative, legal and historical purposes.

PZ-21 Zoning Hearing Tapes, Stenographic Notes and Transcripts

Consists of recordings and notes made during Zoning Board hearings and transcripts of proceedings.

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.

POLICE RECORDS

PO-1 Animal Law Enforcement Records

Retain 2 years.

PO-2 Bicycle Registration Records

Retain 2 years.

PO-3 Calibration Records

Includes chemical analysis intoxilizer, vehicle speedometer, radar, vehicle and other speed measuring devices.

Retain 5 years.

PO-4 Citations (Traffic and Non-Traffic)

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

PO-5 Community Relations Files

Includes information relating to business and home security surveys, crime prevention, education programs, neighborhood crime watch, and public safety.

Retain as long as of administrative value.

PO-6 Complaints/Incident Reports/Offense Reports/Initial Activity Reports

Initial reports completed by officers providing basic information on nature of offense or complaint, time frames, names, descriptions, vital statistics, vehicle information and actions taken.

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

PO-7 Court Orders

Orders signed by the judge including expungements and protection from abuse orders.

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

PO-8 Criminal History/Investigatory Case Files

Official case file records, including but not limited to: arrest and detention records, citations and complaints, crime analysis, evidence records, field notes, hospital and medical records, lab reports, offense reports, probation and parole records, press releases, warrants, subpoenas, and vehicular reports.

(1) Homicides/Suspicious Deaths:

Retain 75 years.

(2) Summary Cases:

Retain 5 years after close of investigation.

(3) All other Cases

Retain 20 years after close of investigation.

PO-9 Criminal History Dissemination Records

Records that document the dissemination of criminal histories and other law enforcement information to other agencies or criminal information systems. Information includes name of requester, agency requesting, reason for request, information disseminated and signatures.

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

PO-10 Daily Activity Records

Records pertaining to officer activity, including assignment sheets, officer activity reports, patrol logs, sign-in logs, and work schedule. Serves as a time record.

Retain 3 years.

PO-11 Dispatcher's Logs

Lists time and location of all calls received for police services.

Retain 3 years after last entry.

PO-12 Firearms and Ammunition Records (Departmental)

Records and inventories of assigned weapons and other equipment.

Retain 2 years after superseded or obsolete.

PO-13 Hunting Accident Reports (Submitted to the Pennsylvania Game Commission)

Retain 2 years.

PO-14 Internal Affairs Case Files

(1) Incident Log:

Retain 7 years after last entry.

(2) Substantiated Charges:

Retain 3 years after termination of employment.

(3) Unsubstantiated Charges:

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

PO-15 K-9 Corps Records

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

PO-16 Master Name Index

Usually in card form. Serves as a name index to the official case files.

Retain as long as of administrative value.

PO-17 Missing Persons File

Information may include missing person's declaration statement, name and description of individual, circumstances of disappearance, family members and contacts, operator and vehicle information, photographs, and case status.

Retain until case considered closed.

PO-18 Motor Vehicle Records

(1) Accident Reports:

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

(2) Parking Violations (Tickets):

Retain 1 year after all fines have been paid.

(3) Police Requests for Removal of Abandoned or Impounded Vehicles:

Retain 2 years.

(4) Recommendations for Special Driver's Examinations:

Retain 1 year.

PO-19 Pennsylvania Uniform Crime Reporting Program Worksheets and Printouts

Retain 2 years.

PO-20 Permits and Related Applications

Includes handicapped parking, parades, inflammables and explosives, peddling and other permits.

Retain 3 years after expiration.

PO-21 Property Records (Evidence/Found/Recovered)

Information includes a description of the item, the source of the item, the number assigned to the item and the disposition of the item.

Retain 6 years after property is no longer in custody of the Police Department, if record is not part of Criminal History Case File.

PO-22 Temporary Detention Records

(1) Detention Reports (includes name of prisoner, name of arresting officer, date and time of detention, date and time of release, charges, disposition, property inventory etc.)

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

(2) Inspection Reports (Pennsylvania Department of Corrections)

Retain 4 years.

PO-23 Towing Records

(1) Tow Truck Operator's Schedules

Retain as long as of administrative value.

(2) Towing Service Records (lists date of tow, reason for tow, description of vehicle, and date of release).

Retain 1 year after all fines have been paid.

PO-24 Training Records

Includes all training materials, reports, grants and studies created by the police department.

Retain as long as administrative value.

PO-25 Vacation/Vacant House Check Records

Retain 30 days unless used as evidence.

PO-26 Video/Audio Tapes

Documents officer activity including video taping of drunk drivers who have been arrested. Often used as evidence.

Retain 30 days if not used as evidence.

PO-27 Waivers/Release Forms

Forms completed by citizen releasing police from injury or damage claims.

Retain as long as administrative and legal value.

PUBLIC HEALTH RECORDS

PH-1 Applications for Food Service Manager/Operator Certification

Retain 5 years.

PH-2 Citations

Copy of citation issued by health department personnel for violations of regulations showing the name of the person or establishment and offense, date and time and location, and signature.

Retain 3 years.

PH-3 Epidemiological Reports

Retain 7 years.

PH-4 Food Embargo, Condemnation, and Recall Records

Retain 7 years.

PH-5 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.

PH-6 Health Inspection 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.

Retain 4 years.

PH-7 Reports to the State Board of Health

Retain 5 years.

PH-8 State Permits and Approvals

Retain in compliance with regulations promulgated by the issuing agency.

PH-9 Vector Control Records

(Includes field contact reports, investigations, logbooks, spraying records and treatment records).

Retain 4 years.

FULL-TIME MUNICIPAL HEALTH DEPARTMENT RECORDS

Full-time Municipal Health Departments, as designated by the State Department of Health, should contact the State Archives at the following address for copies of the Retention and Disposition Schedule approved for their departments:

**Pennsylvania Historical and Museum Commission
Bureau of Archives and History
Pennsylvania State Archives Building
350 North Street
Harrisburg, PA 17120-0090**

**RA-LocalGovernment@state.pa.us or
(717) 787-3913 or 783-9874**

PUBLIC WORKS/ENGINEERING RECORDS

PW-1 Applications/Licenses/Permits

For access driveway locations, handicapped parking spaces, load zones and signs.

(1) Annual or short term

Retain 3 years after expiration.

(2) Continuing/Indefinite

Retain until revoked or suspended.

PW-2 Complaints and Notification of Hazards

Includes nature of complaint, details of incident, investigation information and disposition.

Retain 2 years after correction/final resolution.

PW-3 Construction Inspection Reports

Includes regular and special inspection reports of municipal buildings and public works facilities. Serves as evidence of compliance by contractors with codes, specifications, and other requirements.

Retain 12 years after acceptance of project.

PW-4 Construction Plans and Specifications

Usually developed by architects and engineering consulting firms under contract with the municipality for designs of buildings and facilities, the plan includes descriptive narrative and drawings.

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

PW-5 Engineering Drawings

Contains original engineering drawings of municipal buildings and public works projects usually developed by municipal engineers or architects/engineering consulting firms and showing design details.

Retain permanently for administrative and historical purposes.

PW-6 Equipment Records

Consists of operational and maintenance records for municipal public works equipment showing date of inspection or repair and work done.

Retain for life of equipment.

PW-7 Highway Transfers

Includes agreements, encumbrances, engineering data, general project information, maps, resolutions and other supporting papers.

Retain permanently.

PW-8 Maintenance Records-Road/Building/Facility

Relates to maintenance and other work performed on major equipment, systems or infrastructure. Usually indicates date, type of repair, cost and persons doing the work.

(1) Routine

Retain 5 years

(2) Structural

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

PW-9 Maps

May include highway, land use, community facilities, water and soil, topographic, geological survey, borough and township and others.

Retain until superseded or obsolete.

PW-10 Road and Bridge Books and Papers

Shows the location, design and maintenance of municipal roads and bridges. Also may contain notes on field inspections, recommendations and expenses for repairs.

Retain permanently.

PW-11 Road Mileage Reports (Submitted to the Pennsylvania Department of Transportation)

Retain permanently.

PW-12 Road Operations Procedures

Retain until superseded.

PW-13 Storm Water Management Records

Includes agreements and requirements, applications for reimbursement, copies of county plans, site plans and technical studies.

Retain permanently.

PW-14 Street Light Records

(1) Installation Records and Plans

Retain until light is removed or replaced.

(2) Routine Maintenance Records

Retain 5 years.

PW-15 Street Records

(1) Assessment Notification Records

Retain 3 years after all payments have been made.

(2) Opening Orders and Deeds of Dedication

Retain permanently.

(3) Street Cut/Excavation Permits

Retain 5 years.

PW-16 Traffic Studies

Includes delay and traffic flow studies, speed, time, and volume.

Retain as long as of administrative value.

PW-17 Transportation System Performance Forms

Submitted to the Pennsylvania Department of Transportation.

Retain 3 years.

PW-18 Underground Conduit-PA One Call Records

Retain 1 year.

TAX COLLECTION AND ASSESSMENT RECORDS

TA-1 Bill of Taxes

A list of all unpaid taxes outstanding against any property advertised for by sheriff sale. (Filed by Tax Collector with Sheriff)

Retain 2 years.

TA-2 Certifications for Taxes Paid on Real Estate

Certifications provided by Tax Collector on taxes paid on real estate.

Retain 2 years.

TA-3 Change of Address Records

Request to change mailing address for tax bills, usually indicates name and address where tax bills are to be mailed.

Retain 2 years.

TA-4 Delinquent Tax Collection Records (non real estate)

Lien lists, etc.

Retain 1 year after delinquent taxes have been paid.

TA-5 Exoneration Certificates Issued to Tax Collector

Provided to the Tax Collector by the governing body discharging the Tax Collector from collecting a particular tax.

Retain 5 years.

TA-6 General and Special Tax Ledgers and Related Records

Includes Real Estate, Per Capita, Occupation, Emergency and Municipal Services, Earned Income, Intangible Personal Property, Mercantile, Business Privilege, Amusement and other Local Taxes.

Retain 7 years.

TA-7 Mobile Home Removal Permits (Issued by Tax Collector)

Generally lists date, owner's name and address, taxing district, description of mobile home, destination, certification that all taxes have been paid and signature of Tax Collector.

Retain 2 years after expiration.

TA-8 Occupational Tax Lists

Includes taxpayer's name, address, occupation, and classification code.

Retain until superseded or obsolete.

TA-9 Tax Return Forms/Cards

Usually indicates date; taxpayer's name; address and social security number.

Retain 5 years.

TA-10 Public Utility Realty Reports

Submitted to the Pennsylvania Department of Revenue.

Retain 7 years.

TA-11 Real Estate Transfer Records (From Recorder of Deeds)

Information includes transfer data, property location, valuation data, exemption data, signature and date.

Retain as long as of administrative value.

TA-12 Tax Bills, Paid Receipts

Copy of tax bills or notices returned with payment showing date, taxpayer's name and address.

Retain 2 years.

TA-13 Tax Collector's Monthly Report to Taxing Districts

Monthly reports submitted to the taxing district. Lists all taxes collected for the reporting period, including beginning balance, total amount collected, discounts,

penalties, amount remitted, interest earnings, signatures of tax collector and taxing district and date.

Retain 7 years.

TA-14 Tax Collector's Return Sheets

Submitted to Tax Claim Bureau. Generally shows municipality, name of tax collector, total of taxes returned, signature of authority levying tax, property owner's name and address, description of property, assessed valuation and total taxes due.

Retain 1 year after delinquent taxes have been paid.

TA-15 Tax "Duplicates" (Real Estate and Non-Real Estate)

Shows taxpayer's name and address, valuations and total taxes due.

Retain "duplicates" containing information on tax payments for 7 years. **Retain** other copies of the "duplicates" as long as of administrative value.

TA-16 Tax Millage Certificates

Consists of certifications by municipalities and school districts indicating the amount of millage for various taxes.

Retain permanently.

ASSESSMENT RECORDS

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

TA-17 Abatements and Exonerations

Consists of records relating to the cancellation or reduction of an assessed tax. May contain request forms, petitions and correspondence.

Retain 5 years.

TA-18 Appraisal Forms

Completed by tax appraisers in assessing property for tax purposes. Shows owner's name and address, property location, evaluation and other assessment data.

Retain until superseded or obsolete.

TA-19 Assessment Appeal Papers

Relates to appeals by property owners of their tax assessment. Usually consists of appeal form from owner, notices of Board meeting and final decision, relevant correspondence and legal documents if case is appealed to court.

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

TA-20 Change of Assessment Notices

Request to change mailing address for tax bills usually indicates name of owner; district map and lot number, location of property; and name and address where tax bills are to be mailed.

Retain 5 years.

TA-21 Developers' Plans

Includes plot plans from developers showing proposed property layouts.

Retain as long as of administrative value.

TA-22 Exemption Files

Contains applications for exemption of property from taxation due to non-profit or

non-taxable status and the Board's decision. Application provides information on organizations' background, economic status and real property.

Retain 3 years after expiration of exemption.

TA-23 Industrial/Commercial Assessment Reports

Consists of files for large industrial/commercial complexes showing assessment or valuation for each structure. May contain confidential income statements used as a factor in determining assessments.

Retain until superseded or obsolete.

TA-24 Mobile Home and House Trailer Reports

Includes forms completed by owners of mobile home parks. Report usually indicates name and address of trailer owner, dates of arrival and departure and description of trailer. Park plans and correspondence may also appear in file.

Retain until superseded or obsolete

TA-25 Property Record Cards

Generally includes district, map and lot numbers; size of lot; record of owners showing names, addresses and sale prices; property factors; assessment data and building record.

Retain permanently.

TA-26 Real Estate Tax Duplicates (Third Class Cities)

Usually shows owner's name and address, a brief description of the taxable real estate, assessed value and the amount of tax due.

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

TA-27 Real Estate Tax Maps and Aerial Photographs

Consists of plans, maps and photographs of subdivisions and municipalities showing parcel numbers, streets, rivers, streams and other physical features.

Retain until superseded or obsolete; then contact the State Archives concerning transfer.

WASTE MANAGEMENT AND SEWAGE DISPOSAL RECORDS

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

Retain until superseded or obsolete.

**WM-2 BioSolids Disposal Records
(Sludge)**

Includes permits and permit applications, contracts, operational reports, laboratory analysis reports, and related correspondence.

Retain permits and applications until superseded or obsolete. **Retain** reports and related records 30 years.

**WM-3 Investigation Case Files
(Pennsylvania 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.

WM-4 Lab Accreditation Records

Includes applications for accreditation, certificates, quality manual, standard operating procedures, training files, equipment records, logs, studies, corrective actions and all other records and documents required by PA Chapter 252.

Retain applications and certifications until superseded or obsolete. **Retain** all other records for 5 years.

WM-5 Notification of Permits and Permit Revisions

(Act 14 of 1984, Amending the Pennsylvania Administrative Code, Section 1905 A)

Retain 10 years.

WM-6 On-Lot Sewage System Records:

On-lot sewage system permits, and sewage planning module components for subdivisions (Includes plans and specifications, applications for permits, inspections, test results, copies of permits issued, notices of violation, and related records.

Retain permits until supersede or obsolete. **Retain** other records until system is replaced or property is connected to a public sewage treatment system.

WM-7 Operating Records for Public Sewage Treatment Systems, Sewer Line Extensions, and Pumping Facilities:

Daily Plant Operating Records

Retain 2 years.

Discharge Monitoring Reports

Retain 5 years.

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

Retain 2 years.

**WM-8 Planning Modules for New Land Development
(Submitted to the Pennsylvania Department of Environmental Protection)**

Retain as long as of administrative value.

WM-9 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.

**WM-10 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 permitting records until superseded or obsolete. **Retain** all other records permanently.

WM-11 Sewer Assessment Notification Records
(For initial installation)

Retain 1 year after all payments have been made.

WM-12 Sewer Enforcement Officer Certification Records

Retain until expiration of certification.

WM-13 Sewer Rights of Way and Easements

Retain permanently.

WM-14 Solid Waste Records
(Landfills)

Case files (includes applications for landfill permits, copies of permits, complaints, daily disposal logs, ground water monitoring records, inspections, module 1 applications, notice of violation, reviews of proposed sites, sampling reports, volume and weight records and related correspondence).

Retain permits until supersede or obsolete. **Retain** all other records for 30 years after lifespan of facility.

WM-15 Toxic Reduction Evaluation Reports

Includes engineering analysis, pollutant control evaluations, quality reviews and systems inventories

Retain permanently.

WM-16 Transporter/Hauler Records

Includes log books, permit applications including vehicle information, notices of violation, inspection and operational reports, and related correspondence.

Retain 10 years.

WATER QUALITY, SUPPLY AND DISTRIBUTION RECORDS

WQ-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.

WQ-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.

WQ-3 Water Line Assessment Notification Records: **(For initial installation)**

Retain 3 years after all payments have been made.

WQ-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.

WQ-5 Waterworks Operators Certification Records

Retain until expiration of certification.

WQ-6 Meter Reading Records

Retain 5 years.

APPENDIX A

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.

* 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 DECEMBER 16, 2008.

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
December 16, 2008; 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 December 16, 2008.

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 December 16, 2008, 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 feet

Office

Record title, dates, cubic feet

Attest:

Signatures

Seal

APPENDIX D

MUNICIPAL RECORDS DISPOSAL CERTIFICATION REQUEST

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

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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APPENDIX E
USING THE INDEX

- Step One:** Look up the record series in the alphabetical index and find the citation that accompanies the entry.
- Step Two:** Browse down the alphabetical listing of citations (found below) until you find the citation that accompanies the records series. The citation key shows which section and/or municipal office within the Manual to look in to find the records series.
- Step Three:** The number that appears in the second part of the citation represents the numerical order of the records series within that particular municipal office or Manual section.
- Example:** A citation of (PL-6) would therefore represent the 6th records series in the Payroll Records section of the Municipal Records Manual.
-

KEY TO CITATIONS

AL	Administrative and Legal Records
ES	Emergency Services Records
FP	Financial and Purchasing Records
FR	Fire Records
IT	Information Technology
LY	Library Records
PR	Parks and Recreation Records
PL	Payroll Records
PS	Personnel Records
PZ	Planning and Zoning/Code Enforcement Records
PO	Police Records
PH	Public Health Records
PW	Public Works/Engineering Records
TA	Tax Collection and Assessment Records
WM	Waste Management and Sewage Disposal Records
WQ	Water Quality, Supply and Distribution Records

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