State Records Management Manual

Commonwealth of Pennsylvania
GOVERNOR'S OFFICE
MANUAL

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	State Records Management Manual		**M210.7** **Amended**

Date: **June 8, 2004**	Distribution: **Special**	By Direction of: _Robert S Barnett_ **Robert S. Barnett, Secretary of Administration**

This manual establishes guidelines for the management of state government records as outlined in _Executive Order 1992-1, Records Management._ The Pennsylvania Historical and Museum Commission, in conjunction with the Secretary of Administration, is responsible for implementing the records management program. Information to assist in identifying, scheduling, and properly disposing of agency records is contained herein. These guidelines apply to all agencies subject to _The Administrative Code of 1929._

This amendment reflects organizational changes at the Pennsylvania Historical and Museum Commission and updates various sections of this manual. Due to major changes in some sections, marginal dots are excluded.

The Commonwealth records management program has been established to control the creation, use, maintenance, preservation, and disposition of records of state agencies. It is each agency's responsibility to establish and maintain a continuing program for the economical and efficient management of its records. The Historical and Museum Commission, oversees the records management program, the State Records Center, and the Document Image Services Center.

Inquiries concerning this manual should be directed to the:

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> Bureau of Archives and History
> Division of Archival and Records Management Services
> Pennsylvania State Archives Building

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This manual can be accessed on the OA Central Internet site **www.oa.state.pa.us**. Click on "**Policies and Procedures**." Then, click on "**Manuals**" and scroll down to _M210.7._

> **This manual replaces, in its entirety, _Manual M210.7,_**
> **dated December 7, 1999.**

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CHAPTER 1

INTRODUCTION

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INTRODUCTION

Records should be viewed as resources that provide evidence of the organization, functions, policies, decisions, procedures, operations, and other activities of state government. They constitute the memory of executive branch departments, boards, and commissions. From these records, agency staff members glean information, establish policies, and make decisions. Records, and the information they contain, are the lifeblood of government activity and one of the keys to making government more responsive and efficient. Records management is a critical element in satisfying increasing public demands for responsiveness, accountability, effectiveness, and efficiency from state government.

The Records Management Program.

Records management is the systematic control of recorded information from the time that information is created until its ultimate disposition either through its destruction or its transfer to an archives for permanent preservation. Because information is handled in various formats and media, records management encompasses paper records, magnetic tapes and disks, optical laser disks, photographs, microfilm, maps, motion picture films, videotapes, and audiotapes, as well as any other type of recorded information.

The Commonwealth's records management program is designed to control the creation, distribution, use, retention, storage, retrieval, protection, preservation, and final disposition of recorded information required in the operation of state government business. Records are defined in *Management Directive 210.5, Records Management,* as any recorded information, regardless of physical form or characteristics, that documents a transaction or activity of an administrative department, board, or commission, which is created, received, or retained by such administrative department, board, or commission pursuant to law or in connection with the transaction of official business.

The management of an agency's records cannot be taken lightly. If not done properly, conscientiously, and continuously, records may be lost and unavailable for agency or public use, or may not be properly preserved for business or historical purposes. The improper assignment of overly lengthy retention periods or the unwillingness to transfer or destroy records according to records schedules creates costly and false needs for more equipment, floor space, supplies, and personnel.

Included among the elements and functions of a records management program are:

- Records inventory and analysis

- Records retention and disposition scheduling

- Vital records identification and protection

- Active and inactive files management and control

- Archival appraisal and preservation

- Micrographics analysis and control

- Electronic information management

- Training

Objectives of a Records Management Program.

A comprehensive records management program will enable state agencies to reduce the cost of doing government business while protecting the interests of the Commonwealth and its citizens.   The objectives of such a program are to:

1. Furnish accurate and complete information when it is required.

2. Manage and operate the organization efficiently.

3. Process recorded information as efficiently as possible.

4. Provide information at the lowest possible cost.

5. Render maximum service to users of the information.

The Life Cycle of Records.

To be most effective, a records management program must address the entire "life cycle" of records.   According to the life cycle concept, records go through four distinct phases:

1. Creation.   Records are created in various ways, such as when a supervisor sends out an office memorandum, when a permit application is received from a contractor, or when a monthly report is generated by a computer.   By understanding how and why a record is created, the administrator is able to determine the value, costs, and retention requirements associated with the transaction.

2. Active Use.   Once a record has been created or received, it moves into the active use phase of its life cycle.   At this level, the information is seen as both an individual record and as part of an overall record series.   During this stage, the record is referenced from time to time by agency personnel in connection with the official activities and functions of the agency.   As the record is used frequently during the active period, quick access to it is needed.

3. Inactive Use and Maintenance.   As time goes by, the need for a record diminishes and it enters the inactive phase of its life cycle.   It is during this phase that the record no longer needs to be kept in the office or on-line to carry out agency functions, but must still be maintained for administrative, legal, or fiscal reasons.   Inactive agency records that must be retained to satisfy some continuing administrative, legal, or fiscal purpose should be transferred to the State Records Center.

As with active records, the time period that each record is considered inactive varies. Commonly, records are considered inactive when they are referenced less than one time per month per cubic foot of records.

4. Final Disposition.   The last phase of the record's life cycle occurs when it is no longer needed for agency business or to satisfy legal requirements.   Disposition is the final treatment of the record, and involves either transfer of permanently valuable records to the State Archives or destruction.

Records Retention and Disposition Schedules.

The cornerstone of any effective records management program is a good records retention and disposition schedule.   It is the instrument by which agencies can manage their records through the entire life cycle.   A schedule is a comprehensive document that identifies all agency records regardless of format, indicates how long these records should be retained in active use and inactive storage, and specifies whether the records should be disposed of through destruction or transfer to an archival facility.   There are two types of records schedules used by state agencies to control records: the agency-specific and general records schedules.   Chapter 6, Analysis and Scheduling, provides detailed information on developing and using schedules.   Without a good records retention and disposition schedule, agencies could be overwhelmed with inactive and unneeded records which can waste an agency's limited space, equipment, and funds.

About the Manual.

This revised manual has been written by staff of the Bureau of Archives and History, Pennsylvania Historical and Museum Commission (PHMC), to help executive branch agencies fulfill their recordkeeping responsibilities in an efficient and cost-effective manner.   It describes the various components of the Commonwealth's records management program.   The manual also explains the forms to be used, and the process by which an executive branch agency can administer a legal and efficient records management program.

Since the records management program is constantly changing in response to new policies, new legislation and evolving technologies, this manual has been issued in a loose-leaf format to allow for periodic updates.   When revisions are made, updated chapters will be distributed to all executive branch agencies in a timely manner.

Users of this manual are encouraged to contact the Bureau of Archives and History with questions or comments about this manual or the Commonwealth's records management program.

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> **Bureau of Archives and History**
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CHAPTER 2

RECORDS MANAGEMENT LAWS AND RESPONSIBILITIES

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RECORDS MANAGEMENT LAWS AND RESPONSIBILITIES

A successful agency records management program is one that follows all applicable state and federal statutes and regulations pertaining to recordkeeping, and clearly delineates the roles of those responsible for overseeing the program. This chapter explains the current statutes and responsibilities that guide the Commonwealth's records management program. The ability to understand and apply these laws will ensure that all state agencies are protecting the rights and interests of Pennsylvania and its citizens.

Included are excerpts from the state statutes, codes, and directives that establish and explain the current policies and roles of the Secretary of Administration, Executive Board, Pennsylvania Historical and Museum Commission (PHMC), and executive branch agencies.

Additionally, each agency must comply with any legislation that is specific to its mission and statutory authority. Consult agency legal staff for clarification of these statutes and directives and how they affect each agency's records management program.

The Administrative Code of 1929 – P. L. 177, No. 175.

"***Section 524. Disposition of Useless Records*** *– Except as otherwise provided by law, whenever any administrative department, board or commission shall have an accumulation of files of correspondence, reports, records or other papers, which are not needed or useful in the transaction of the current or anticipated future work of such department, board or commission, and which date back a period of four years and more, it shall be the duty of the head of such department, board or commission to submit to the Executive Board and to the Pennsylvania Historical and Museum Commission a report of that fact, accompanied by a concise statement of the condition, quantity, and character of such papers, which statement shall be sufficiently detailed to identify the papers. If the Executive Board shall be of the opinion that such files of correspondence, reports, records or other papers, or any part thereof, are not needed or useful in the transaction of the current or anticipated future work of such department, board or commission, and shall so certify and if the Pennsylvania Historical and Museum Commission shall be of the opinion that such files are not of permanent value or historic interest and shall so certify, the head of such department, board or commission shall place such files, or any part thereof, as the case may be, in the custody of the Department of Property and Supplies, and such department is hereby authorized to dispose of the same as waste paper, in the manner prescribed in this act for the sale of unserviceable property: Provided, however, That the Executive Board, with the approval of the Pennsylvania Historical and Museum Commission, may direct that any such files of correspondence, reports, records or other papers, or any part thereof, that are of permanent value or historical interest be turned over to the Pennsylvania Historical and Museum Commission for preservation for historical and archival purposes or that the Pennsylvania Historical and Museum Commission may negotiate with the head of such department, board or commission for the transfer of such files. (71 P. S. § 204)*

"***Section 525. Microfilming Records*** *– Any administrative department, board or commission may, with the approval of the Executive Board, have microfilm records made of any correspondence, records or other papers for the purpose of protecting and safeguarding the original correspondence, records or other papers, or for the purpose of conserving filing space, and such microfilm reproduction shall, when properly identified, be admitted in evidence in any proceedings in place of the original correspondence, records*

or other papers.   In any case where original correspondence, records or other papers are microfilmed under the provisions of this section for the purpose of conserving filing space, the administrative department, board or commission concerned, may, with the approval of the Executive Board, destroy such original correspondence, records or other papers.

"The provisions of this section expressly include, but are not limited to, any returns, reports, claims or other papers pertaining to the administration, settlement, payment or collection of taxes, license fees, and other moneys or property due the Commonwealth or rebates payable.   Microfilm reproductions of such papers shall be admitted into evidence in any proceedings in place of the original papers in accordance with the "Uniform Photographic Copies of Business and Public Records as Evidence Act."   (71 P. S. § 205)

*"**Section 527.   Filing and Record Systems** – The Governor shall, from time to time, cause studies to be made of the accumulations of files of correspondence, reports, records and other papers in possession of departments, boards and commissions, and may direct said departments, boards or commissions to comply with the provisions of sections 524 and 525 of this act.   The requisitions, warrants, canceled checks, books, records, correspondence and files of the Department of the Auditor General and the Treasury Department, which date back a period of four years or more, shall be expressly covered by the provisions of this section. (71 P. S. § 207)*

*"**Section 701. The Governor –** The Governor shall have the power and it shall be his duty:*

*"**(I)**   To prescribe the filing system to be adopted by each department, board or commission; to direct with the approval of the Executive Board, what records shall be destroyed and what records preserved by photographic process, and to assign space in the Capitol Buildings, or in leased quarters for conduct of work and for storage of records. (71 P. S. § 241 (l))*

*"**Section 709.   Executive Board** – Subject to the provisions of this act, the Executive Board shall have the power:*

*"**(k)**   To approve or disapprove requests for and to direct the disposal of files of correspondence, reports, records or other papers which are not needed for the current or anticipated future operations of any administrative department, board or commission, and which date back a period of four years or more.   (71 P. S. § 249 (k))."*

History Code – P. L. 414, 1988-72.

POWERS AND DUTIES OF
PENNSYLVANIA HISTORICAL AND MUSEUM COMMISSION

*"**§ 301. General powers and duties.   (37 Pa. C. S. A.)***

"The commission shall have the power and duty to:

*"**(1)** Serve as the official agency of the Commonwealth for the conservation of Pennsylvania's cultural heritage.*

"*(2)   Preserve public records, historical documents and objects of historical interest, possession and control of which have been transferred to the commission.*

"*(3)   Initiate, encourage, support and coordinate and carry out historic preservation efforts in this Commonwealth.*

"*(4)   Provide for historical research and interpretation and public access to this heritage.   (37 Pa. C. S. A.)*"

"*§ 305.   Documents.*

"*The commission shall have the power and duty to:*

"*(1)   Research on Commonwealth documents.   Examine and copy or microfilm any public records within the control of a Commonwealth agency for the purposes of historical research.*

"*(2)   Preservation of public records.   Preserve all public records throughout this Commonwealth and give special attention to the preservation of all records of the Commonwealth not in current use and of historical value; negotiate for the transfer and receipt of public records from any Commonwealth agency or political subdivision; and provide for the disposition of records not needed or useful in the transaction of current or anticipated future work of the Commonwealth under Section 524 of the Act of April 9, 1929 (P. L.177, No. 175), known as The Administrative Code of 1929.   The commission shall be the legal custodian of any public records transferred to it by any Commonwealth agency or political subdivision.   The head of any Commonwealth agency or political subdivision may transfer to the commission public records legally in his custody not needed for the transaction of the business of the office whenever the commission is willing to receive and care for them.*

"*(3)   Management of historical documents.   Collect, classify, preserve, and make available for reference all records which may come into its possession with the exceptions indicated by the commission; and examine the condition of the public records, books, pamphlets, documents, manuscripts, archives, maps, and papers filed or recorded in any Commonwealth agency or political subdivision.   The executive director or any employees authorized by him shall have reasonable access to all public records in this Commonwealth for the purpose of examining them and shall report to the commission on their condition.*

"*(4)   Regulation of Commonwealth records.   Recommend such action be taken by the persons having the care and custody of public records as may be necessary to secure their safety and preservation; cause all laws relating to public records to be enforced; and recommend and enforce uniform standards governing the use of paper, ink, and filing procedure for all records and papers of Commonwealth agencies and political subdivisions that are considered of permanent historical importance.*

"*(5)   Certificates relating to public records.   Furnish certificates relating to public records, or copies thereof, upon the payment of fees established by the commission or otherwise fixed by law.*

"*(6)   Land records.   Maintain and preserve:*

"*(i)   Records of the first titles acquired by the proprietaries and the Commonwealth to all the lands within its boundaries.*

"*(ii) Records of all lands and conveyances from the proprietaries and the Commonwealth to the purchasers of the land.*

"*(iii) Papers relating to the surveys of this Commonwealth and county lines and the reports of commissioners relating to the boundary lines of this Commonwealth.*

"*(iv) Maps and other papers pertaining to colonial history of this Commonwealth.*

"*(v) Contracts, section profile maps, and other records relating to public works.*

"*(vi) All other relevant records relating to titles of real estate acquired by the Commonwealth.*"   (37 Pa. C. S. A.)

Executive Order 1992-1, Records Management.

Executive Order 1992-1 assigns responsibility for the administration of the records management program to the Secretary of Administration and implementation of the program to the PHMC.   Agency heads are responsible for managing their agency's records in accordance with directives issued by the Secretary of Administration.

Executive Order 1992-1, Records Management, states in part:

"*1. The Secretary of Administration shall administer the records management program for the Commonwealth.   He shall determine policies, consistent with the Administrative Code, develop standards, and establish procedures to control the maintenance transfer, microfilming, preservation, retention, and disposition of records and the acquisition of filing equipment.*

"*2. The Pennsylvania Historical and Museum Commission, in conjunction with the Secretary of Administration, shall be responsible for implementing the records management program.   The Secretary of Administration will issue all Management Directives regarding the Commonwealth's records management program.*

"*3. The head of every department and agency shall establish and maintain an active, continuing program to manage their agency's records in accordance with this order and implementing instructions issued through the Directives Management System.*"

Directives Management System.

The following directives establish responsibilities and procedures for the Commonwealth's records management program:

210.4, Central Microfilm Management.   Defines responsibilities for initiating and approving microfilm equipment and services.

210.5, Records Management.   Defines responsibilities for the creation, use, maintenance, preservation, and disposition of records.

210.6, Selection, Acquisition and Use of Filing Equipment.   Outlines responsibilities and procedures relating to filing equipment.

210.8, Micrographics Procedures to be Used in Conjunction With Central Microfilm Management.   Establishes procedures to be used in conjunction with *Management Directive 210.4.*

210.9, Electronic Imaging Systems Procedures Relating to the Management of Records. Establishes policy and procedures to be used in conjunction with *Management Directive 210.5.*

210.10, Electronic Records Management.   Establishes policy, responsibilities, and procedures for the management of electronic records.

210.11, Acceptance of Imaged Documents.   Establishes policy for the acceptance of imaged documents.

210.12, Electronic Commerce Initiatives and Security.   Establishes policy and procedures when sending, accepting, and storing or using electronic signatures or electronic records and evaluating electronic commerce and security.

210.13, Retention and Disposition of Records Created on Electronic (Email) Systems.   Establishes policies, responsibilities, and procedures for retention and disposition of records created on electronic mail systems.

In addition, the Secretary of Administration has issued *Management Directive 505.18, Maintenance, Access, and Release of Employee Information*, which details handling procedures for personnel records. Contact the Office of Administration, Executive Board/Directives Management System, Room 311 Finance Building, for copies of directives or call (717) 783-5055.

Designated Responsibilities.

The Commonwealth's records management program is broad based and requires the participation of many individuals.   For a records management program to be effective, the participants in the program must comprehend its goals and philosophy.   The above statutes, codes, and directives, in particular *Management Directive 210.5,* outline the policy and responsibilities for program compliance.   Those responsible for the Commonwealth's records management program are the:

1.   Executive Board.   The Executive Board must approve both the disposition and microfilming of records.   This is accomplished through Board approval of records retention and disposition schedules, and changes thereto.

2.   Secretary of Administration.   The Secretary administers the records management program, determines policy, and issues all directives establishing standards and procedures controlling the maintenance, transfer, microfilming, preservation, retention, and disposition of records.

3.   Pennsylvania Historical and Museum Commission (PHMC).   The PHMC, in conjunction with the Secretary of Administration, is responsible for implementing all aspects of the Commonwealth's records management program.   As part of the program, the Bureau of Archives and History operates the State Records Center and the Document Image Services Center as well as the State Archives.   Working through two divisions, the Division of Archival and Records Management Services (DARMS) and the Division of Records Administration and Image Services (DRAIS), the Commission provides mandated archival and records management services to executive branch agencies.   These services are designed to promote the proper care and administration of the state's rich and extensive recorded heritage and to help public institutions avoid needless records storage and retrieval costs.   They relate primarily to the identification, storage, preservation, or destruction of public records in accordance with all applicable state and federal statutes and regulations.

Specific services provided by DRAIS for executive branch agencies include:

a. Administering the program to prepare and amend agency-specific and general records retention and disposition schedules.

b. Reviewing all agency requests for records actions prior to submission to the Executive Board.

c. Evaluating and approving agency requests to microfilm records, to obtain contractual microfilm services, and to acquire microfilm equipment.

d. Assisting agencies in determining needs and selecting proper filing equipment.

e. Operating the State Records Center to house and service agency inactive records whose reference rate does not warrant their retention in agency office space and equipment.

f. Operating the State Document Image Services Center to provide agencies with source document and computer output microfilming, processing, duplication, and quality control services.

Specific services provided by DARMS for executive branch agencies include:

a. Appraising agency records to identify records of historical or continuing value.

b. Arranging for the transfer of historically valuable government records to the State Archives.

Staff of DRAIS and DARMS work together to develop standards, guidelines, directives, and procedures relating to the creation, maintenance, and use of government records in all formats for promulgation by the Secretary of Administration; provide professional and technical advice; issue newsletters; and sponsor archival and records management training sessions, seminars, and workshops to maximize the correct use of government records retention and disposition schedules, the cost-effective use of government technologies, and to help ensure the preservation of historical records.

4. Heads of Agencies. The head of each agency is responsible for ensuring that an efficient and economical records management program is established and maintained. The records management program must extend to all agency records, including those in field offices. Agencies are to retain in their custody all records which are required or useful for the efficient and effective performance of their mandated functions until their needs and those of other concerned parties have been met.

While agency heads retain responsibility for the proper identification, maintenance, and disposition of records, they have the responsibility according to *Management Directive 210.5* to appoint a Records Coordinator. Additionally, it is the responsibility of the agency head to establish a Vital Records Disaster Management Team to develop and carry out a Vital Records Disaster Plan.

5. Agency Records Coordinators. Staff members appointed by agency heads who are responsible for managing and coordinating records management activities. See Chapter 3, The Records Coordinator, for a description of the duties of an agency's Records Coordinator.

6. Authorized Records Personnel. Persons authorized by their agency Records Coordinator to reference and retrieve files at the State Records Center. DRAIS staff should be notified, in writing, of these authorized records personnel, including their name, office address, telephone number, E-mail address, and the specific records schedule items to which they are to be allowed access.

CHAPTER 3

THE RECORDS COORDINATOR

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THE RECORDS COORDINATOR

Management Directive 210.5 requires all agency heads to appoint a Records Coordinator to be responsible for managing and coordinating the agency's records management activities.   The directive assigns the following responsibilities to the Records Coordinator:

1. Serve as primary liaison and point of contact between the agency and the Commonwealth records management and archives program as administered by the PHMC.

2. Assist agency program staff by coordinating and facilitating the inventory, analysis, and scheduling of all agency records.

3. Monitor the acquisition of new and surplus filing equipment.

4. Monitor the acquisition, installation, and use of microfilming systems and equipment, and any related contractual services.

5. Coordinate records management training for agency personnel.

Duties of the Agency Records Coordinators.

Essentially, the Records Coordinator acts as the representative of the agency regarding all records management issues and obligations.   To be effective, the Records Coordinator should be aware of the principles of records management as well as the laws, regulations, and directives pertaining to the agency's records.   Records Coordinators have the following duties:

1. Serve as liaison to the PHMC.   As the Records Coordinator is charged with overseeing the records management program within his or her respective agency, it is important to maintain a relationship with the PHMC staff.   This relationship will allow both the Records Coordinator and PHMC staff to work together to provide professional and technical direction, as well as to develop improved procedures, policies, and training.   Without communication from Records Coordinators, PHMC staff will be unaware of common difficulties and consequently will be unable to help resolve them.   Coordinators are also the point of contact for PHMC staff as they appraise records for historical value.

2. Oversee and facilitate agency efforts to inventory, evaluate, and schedule records and develop methods to control the creation, maintenance, and disposition of records.   The Records Coordinator should supervise the records inventory and then use that information combined with the current legal requirements to prepare the agency records schedule.   To assist in this stage, the Records Coordinator should work with agency personnel and legal counsel to determine the length of time records need to be maintained and to identify records that are protected by attorney-client privilege and/or work product doctrine.   The Records Coordinator is also responsible for forwarding the appropriate paperwork to DRAIS for all updates and changes to the records schedule, contacting the State Records Center regarding all requests for the transfer of agency records, and maintaining all documentation relating to record actions.

3. Monitor requests for filing equipment, microfilm equipment, and related supplies.   One of the responsibilities listed in *Management Directive 210.5* is controlling the acquisition and use of filing and microfilming equipment.   This is a responsibility shared by Records Coordinators and the PHMC.   It is expensive to purchase filing and microfilming equipment along with the office space to store it.   By monitoring files management and records disposition, Records Coordinators can control the need for additional equipment by effectively making use of available resources.

4. Attend training sessions and implement training programs for agency personnel. The Records Coordinator has two responsibilities involving training. First, Records Coordinators are encouraged to attend educational seminars given by the PHMC, as well as by other records management organizations such as the Association of Information Professionals (ARMA) or the National Archives and Records Administration (NARA).

Secondly, the Records Coordinators should make agency personnel, who are involved with the various phases of records management, aware of records management training opportunities. This includes informational memoranda, books, journals, and most importantly, seminars conducted by the PHMC or other records management organizations.

5. Submit an Authorized Records Personnel List to the State Records Center.   Another duty of the Records Coordinator is to provide State Records Center staff with written notification of the names of personnel authorized to reference and retrieve files at the Center, including their office address, telephone number, and the specific records schedule items to which they are to be allowed to access.

CHAPTER 4

FILES MANAGEMENT

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FILES MANAGEMENT

A manageable file system is based upon the information requirements of an agency. It is economically organized to facilitate rapid reference, and periodically reviewed for effectiveness. When no longer needed, records are to be transferred or disposed of in accordance with approved retention and disposition schedules.

Files needing improvement must first be examined by the division head, Records Coordinator, and file custodian. Recordkeeping has changed drastically over the years. No longer is the A to Z file procedure sufficient in today's technical and computerized office environment. Instead, the method of information storage and the system of retrieval are often predetermined by indexes, codes, colors, and procedural handbooks. As file planning and information management become more specialized and sophisticated, records storage terminology has been broadened to include information retrieval as a means to facilitate maximum uniformity and ease in maintaining and using agency records through manual, mechanical, or electronic systems.

Files Management Terminology.

A **file** is commonly a paper or a folder of papers. The term is also used to denote photographs, photographic copies, maps, electronic data, and other recorded information, regardless of physical form or characteristics. Files may be accumulated and maintained in filing equipment, records boxes, machine-readable media, or on shelves occupying office or storage space. Stocks of publications and blank forms are not files.

Records are filed and grouped into organizational patterns that can be referred to as record series. A **record series** is defined as a group of records that may be treated as a unit for purposes of classification, designation, description, management, or disposition because they relate to a particular subject or function, result from the same activity, have a particular physical form, or because of some other relationship arising out of their creation, receipt or use. Case files and subject files are two types of filing systems used by government offices. Filing systems usually feature an alphabetical, chronological, numerical, or alphanumeric arrangement.

Records are not to be stored longer than necessary. A **file cut-off** (or file break) is a recordkeeping technique used by records management professionals to separate the inactive records from those used in day-to-day operations. In exercising this technique, a file is periodically terminated and, after the cut-off date, a new file is established for incoming transactions. How often files are closed out depends upon the type and volume of records and the retention requirement established for them. The file cut-off method permits routine transfer or destruction of records in blocks and prevents the accumulation of large, bulky collections of records in costly file equipment. It also speeds access to reference of current records by reducing the volume of records kept in the office. Staff should consider records ready for off-site storage when there is less than one reference action per cubic foot per month.

Managing Files.

Division chiefs and their professional, technical, and clerical staffs all share responsibility for the identification, classification, and retention of information within their areas. Files management should organize records and paperwork so that needed items can be found rapidly, facilitate the selection and safekeeping of records of archival value, and ensure the prompt transfer or disposal of noncurrent records. All services are to be performed with maximum economy in utilizing equipment, supplies, and personnel.

File Clerks.

Once a files management system is established in an office, the duties and responsibilities to maintain the files should be assigned to experienced, reliable, and efficient staff members. The file clerks should have general knowledge of the organization's mission and its functional statements. To assist in their work, the agency's records retention and disposition schedule, filing procedures, guides, and handbooks should be accessible to the file clerks at all times for reference and verification purposes.

Typical responsibilities of a file clerk include receiving records; sorting, filing and finding records; reference service; and occasional microfilming or data entry. Should the filing system involve indexes, cross-reference activity, or special codes, the person responsible for the record should accurately encode onto the document the proper reference number, thereby relieving the file clerk of this responsibility. If electronic records or microfilm are involved, other duties may be placed on the file clerk. These could include responsibility for the library of program documentation and tapes, or controlling certain aspects of microfilm production.

Filing Program Requirements.

Classification, standards, and instructional guides are recommended for use in files management programs within agencies. They should be easy to read and readily available to all employees concerned with information and file systems. The following actions are basic to the management of files:

1. Maintain files in accordance with laws, rules, and regulations of the agency, and other requirements imposed upon the agency.

2. Identify work stations (small units of activity) and individual records controlled by employees. Once identified and classified, that information will be part of the total file master design of the bureau or major function.

3. Do not let files become cluttered with non-record items such as magazines, journals, manuals, or binders.

4. Clearly identify file drawer contents on the outside drawer label.

5. Facilitate disposal of records in accordance with applicable records retention and disposition schedules and the wastepaper contract administered by the Department of General Services (DGS).

6. Replace files removed from their location with a charge-out card (this should be in a bold color for easy detection).

7. Do not copy or reproduce files without sufficient justification.

8. Periodically examine files to determine whether duplication, misclassification, misfiles, or over-extended retention periods exist.

9. Personal items are **not** to be stored in filing equipment.

Classification of Files.

A filing system is based upon logic, standardization, simplicity, flexibility, and functionalization. Each of the factors requires study and consideration to achieve the optimum file management system. When planning and developing a manual recordkeeping procedure, it is recommended that appropriate textbooks, journals, and publications be referenced for ideas and direction. Also, additional support and guidance may be obtained from the agency Records Coordinator or DRAIS. Although there are many file classification systems available, most have come from the following recordkeeping methods:

1. Alphabetical. This system is used mainly for records and correspondence filed by name or subject. Filing by name includes the name of individuals, governments, businesses, or geographical locations. Subject filing is used when information is requested by document title or transactional content, such as automotive, budget, furniture inventory, and so on.

2. Chronological. This system is used to file items by specific dates. Filing records by date is limited to suspense or "tickler" and chronological transaction files.

3. Numerical. This system is used primarily for the filing of sequentially numbered documents such as invoices, orders, and contracts. People retrieve and file records more easily and quickly by number than by letter. Numerical records may be divided into two or more parts, separated by a dash, comma, space, or period. This recordkeeping method is frequently supported by a cross reference procedure.

4. Alphanumerical. This system is used mainly for the filing of subject matter both by title and identification number. Captions on guides and folder tabs show both sets of identification.

Useful Filing Tips.

The following procedures/actions should be initiated to ensure the proper maintenance of files:

1. Remove all paper clips, pins, rubber bands, and binder clips from the files. Any material which should be filed together should be stapled together.

2. Fasten any loose clippings or small bits of paper that are considered a record to a sheet of paper so they do not get lost.

3. Repair all damaged or torn documents before filing them.

4. File at least 15 minutes every day.

5. When folders have reached their capacity of 75 sheets, make new ones.

6. Use boldly colored filing guides as an aid to easier retrieval.

7. Use boldly colored out-cards to keep track of files.

8. Always have an updated file plan for each series.

9. Comply with the agency-specific or general records retention and disposition schedules. Implement a fiscal or calendar year cut-off. The use of a cut-off facilitates the separation of inactive records scheduled for destruction or transfer to the State Records Center or State Archives.

Filing and Microfilm Equipment.

In the selection of equipment, administrators are often torn between economy and the attractiveness of new devices. The economical use of filing and microfilming equipment is one measure of effective records management. Requests for additional equipment usually indicate that office records are reaching an excessive volume. Agencies should refer to *Management Directives 210.4, 210.6*, and *210.8* for additional information.

Complex equipment should not be used unless there is a specific need for it. Most of the new devices on the market are designed to serve special purposes, and they should be carefully investigated before purchases are made. Equipment should fit the need with respect both to the kind of operation and to the physical requirements of the office.

Form STD-66*,* Request to Acquire Microfilm Equipment, must be completed by the agency and forwarded to DRAIS for evaluation and approval.

The Commonwealth requires that its agencies use the most efficient filing equipment available. The use of two drawer filing cabinets is discouraged as they occupy prime space for too few records, and are approved only in those instances where their use can be demonstrated to be beneficial to program activities. There are three methods used to acquire new filing and microfilming equipment:

1. Procurement. Purchases of filing equipment and microfilming equipment will be made through the approved state contracts administered by DGS or its supply operation. Exceptions are permitted when justified.

2. Serviceable Surplus. When the surplus system has filing cabinets or microfilming equipment available, agencies will use this equipment instead of purchasing new equipment.

3. Request for Proposal. For large systems not available through approved DGS contracts, the agency will need to do an analysis of its requirements and obtain proposals from appropriate vendors.

CHAPTER 5

RECORDS INVENTORY

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RECORDS INVENTORY

The **records inventory** is a survey of all agency records that is used primarily to develop a retention and disposition schedule. The inventory identifies all records, their location, and quantity. This information enables an agency to compile a retention and disposition schedule, and provides an accurate accounting of an agency's information resources as well as the facts needed to make cost-effective decisions on future systems, space, and personnel needs.

A comprehensive inventory should be done when an existing agency undergoes major reorganization or is reevaluating its records management program. Individual inventories need to be completed when new record series are added to the agency's records schedule. All media types, such as paper, electronic, maps, drawings, photographs, and microfilm, must be included in an inventory.

Objectives.

The inventory is the foundation of the agency's records management program. It will provide records management personnel with comprehensive facts about the agency's information resources and system needs. By following the objectives, records management personnel will be able to achieve the desired results.

The objectives of the records inventory are to:

1. Identify all of the agency's records by category or record series.

2. Determine the physical location of all the records.

3. Categorize the types and quantities of equipment and supplies used in the maintenance of records.

4. Identify the reference activity for each record series, i.e., how often the records are used.

5. Determine the annual accumulation of each series.

6. Identify which records are in an electronic format.

7. Determine which records are being microfilmed.

8. Determine how much office space, materials, equipment, and personnel are required to meet the information needs of the agency.

9. Determine the overall cost of recordkeeping within the agency.

The Inventory Form.

As part of the Commonwealth's records management program, *Management Directive 210.5* requires all agencies to inventory their records. Form STD-57, Records Inventory and Analysis, should be used. Whether an agency is adding a single or several new records to its schedule or creating a

schedule for the first time, it must prepare Form STD-57 for each record series inventoried. For more information on inventorying electronic records, see Chapter 9, Electronic Records, of this manual. Detailed instructions on completing the above mentioned form may be found in Appendix 3, Forms, of this manual.

Preparing for the Inventory.

An agency-wide records inventory is an important project that needs to be properly planned and executed. It will require the cooperation and participation of agency staff who use and maintain the records. Project assignments and responsibilities are to be clearly defined beforehand and vigorously supported at all times by management. This is accomplished by holding an initial project meeting, attended by the agency head or a chief deputy, key management and supervisory personnel, the agency Records Coordinator, file clerks and, if necessary, a representative from DRAIS. At the meeting, a project leader is selected, study guidelines established, objectives and goals set, and data gathering forms and procedures decided upon. Follow-up meetings will be necessary to train inventory workers on how to interview staff about the nature and content of records, and to educate employees responsible for reviewing and assigning retention recommendations.

In the event of a comprehensive or agency-wide records study, it is recommended that an agency records committee be established to oversee activity and determine the information needs of the agency as they apply to administrative, legal, and accounting systems in the agency.

Once an overall work plan has been approved by management, a memorandum explaining the project and everyone's responsibilities for bringing it to a successful conclusion should be sent to all affected staff.

Conducting the Inventory.

The records review is ready to start as soon as all preparatory steps have been completed. All records must be accounted for, whether they are paper documents, on microfilm, or in an electronic format. Field offices, commercial sites, and other off-site locations are to be included in a comprehensive records inventory.

> **Definition of a Record:** Any recorded information, regardless of physical form or characteristics, that documents a transaction or activity of an administrative department, board, or commission and that is created, received or retained by such administrative department, board or commission pursuant to law or in connection with the transaction of official business.

Administrators and staff in offices where an inventory will be conducted are to be consulted and interviewed shortly before data gathering begins. This contact enables the employees to understand the project's purpose and provides project members with insight into the records they will be inventorying.

During the survey, a separate inventory form must be completed for each record series. If the record series contains forms, it is usually beneficial to attach samples of these forms to the inventory document. Though the basic inventory form must be the STD-57, it may be desirable to gather additional information as part of the overall project exercise. In that case, additional forms designed by the agency may be used to gather information on practices such as using filing guides, labeling folders, and filing and storage procedures. Upon completion of the survey, this information will prove useful in correcting poor filing practices.

Non-record items are not part of the inventory process, but should be noted for reference purposes. Included in this grouping are materials that do not meet the definition of a record and are not subject to litigation or other legal proceedings. These materials relate to non-government business or activities and may include items such as announcements of community events and retirement parties. Non-records may also include publications such as trade journals, pamphlets, and reference materials received from outside organizations, conferences, and workshops.

When completing Form STD-57, the following information must be included:

- Agency, bureau, division, and section names

- Contact person's name and phone number

- Location of records

- Title of the record series

- Time span covered by the records (inclusive dates of all records in the series)

- Description of the series

- Format of record (i.e., paper, film, electronic)

- Date of Inventory

- File arrangement

- Series cut-off

- Frequency of reference

- Cubic measurement of the series

- Description of storage equipment

- Rate of annual accumulation

- Vital record status

- Audit requirements

Record Series Description.

The most important information on the inventory form is the record series description. Because it is the basis for determining the administrative, fiscal, legal, or historical value of the records, a clear description of the series is fundamental to the success of an inventory or records schedule. This information will be used not only to establish the proper retention periods, but also to determine if the records are vital or if they have archival value. The record series description identifies the nature and purpose of the records. It must explain why the series was created and what functions are related to the series. An accurate description should also include a list of the types of documents within the series, such

as forms, correspondence, or reports. If the records are maintained by the agency legal office, it is imperative that the description indicates whether the records are covered by attorney-client privilege and/or work product doctrine. Any confidentiality requirements, including the length of time records must be restricted, should also be noted in the description.

A **record series** is a group of records that may be treated as a unit for purposes of classification, designation, description, management, or disposition because they relate to a particular subject or function, result from the same activity, have a particular physical form, or because of some other relationship arising out of their creation, receipt, or use. For example, all purchase orders, subject files or correspondence files for a bureau could be considered a record series. The record series should be described in such a way that anyone having a responsibility for later review or action may immediately understand, identify, and comprehend the stated records without any chance of misinterpretation.

Descriptions should state whether records are originals or copies. If records are duplicated elsewhere, this must be noted, along with the location of these duplicate records. Identifying duplicate records is necessary and much easier to do when staff members know where a given record originated and how it is routed throughout the organization. With this knowledge, management can determine which records have built in protection in the form of back-up documentation, which may be helpful during an emergency.

The series title should clearly identify the record series. To avoid confusion, uses of the term "miscellaneous" as well as abbreviations are not acceptable. The title should be derived from one of the following:

1. Normal agency title (must be comprehensible to people outside the agency).

2. Title of a single form or type of document common to the entire series.

3. A descriptive title based on the contents.

Concluding the Inventory.

After all the information on agency records has been accumulated, there should be a completed inventory form for each record series in the agency. This is also a good time to gather suggestions from the project members on how to improve the agency's files management or records management practices. The appropriate manager is to review the findings and, if satisfied with the results, forward all documentation to the agency Records Coordinator for analysis and schedule development.

CHAPTER 6

RECORDS ANALYSIS AND SCHEDULING

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RECORDS ANALYSIS AND SCHEDULING

Once an agency has outlined its functions, developed recordkeeping strategies and inventoried its records, it needs to analyze those records and begin to prepare a records schedule. As a records retention and disposition schedule is the cornerstone of any effective records management program, *Management Directive 210.5*, requires all agencies to provide for the "…appraisal, and the scheduling of retention periods by type of records. Agencies should continually evaluate retention periods so that they reflect the minimum periods consistent with needs for access and preservation."

Analysis is the process of determining the value and thus the disposition of records based upon their current administrative, fiscal and legal use, and relationship to other records. No matter what the type or media, records are a valuable resource that must be identified and scheduled in accordance with records management program procedures issued by the Secretary of Administration. Determining the final disposition of agency records is a critical part of the analysis and scheduling process.

A **records retention schedule** is a comprehensive statement approved by the Executive Board showing retention periods and all actions to be taken with respect to disposition of records. The schedule lists record series, indicates length of time each series is to be maintained in a prescribed format, and the location where the records are to be stored. There are two types of records schedules used by state agencies to control records, the general and agency-specific. The records schedule is developed directly from the information gathered through the inventory and lists every record series maintained by an agency. The record series title should remain the same throughout its life cycle, from creation to disposition.

Objectives of Records Analysis and Scheduling.

The analysis and scheduling of records is important because it allows each agency and the Pennsylvania Historical and Museum Commission (PHMC) to determine if the following objectives are being met:

- Records are being properly maintained and accounted for.

- Vital records are protected.

- Historical records are preserved.

- Filing equipment, floor space, and personnel are used efficiently.

- Inactive records are either disposed of or transferred to approved storage sites.

The Analysis Form.

The appropriate analysis document is Form STD-57, which is the same form used for the records inventory. At the bottom of the form are spaces for the records analysis function, which includes retention requirements and related justifications. The analysis must be done for each record series inventoried.

Detailed instructions on completing the above mentioned form may be found in Appendix 3, Forms, of this manual.

Performing the Analysis.

During the analysis phase, the Records Coordinator should consult with individuals from each bureau or department, legal counsel and financial officers. These individuals should use their knowledge to establish retention periods in accordance with program mandates, applicable state and federal laws and regulations, audit requirements and agency responsibilities. Existing general records schedules should be consulted to determine if the item already has been given a scheduled retention period. Upon determination of the required retention period for a record series, the recommended retention period and the justification need to be added to Form STD-57.

In order to determine the proper retention periods, agency management personnel must also consider the value(s) of each record series. These values fall into three categories:

1. Administrative Value. Records have administrative value because they are essential to conducting an agency's business. Staff responsible for using the records and delivering associated services should be able to determine when these records are no longer needed to conduct official business.

2. Fiscal Value. Records have fiscal value if they pertain to the receipt, transfer, and expenditure of government funds. Those which show routine financial transactions usually have little value after audit, while those records that classify and summarize agency expenditures may have long-term value. The *General Accounting Records Retention and Disposition Schedule* governs the retention and disposition of records associated with the Commonwealth's accounting functions.

3. Legal Value. Records have legal value if they contain evidence of legally enforceable rights or obligations of the state.

> **Note: Record series with a total retention period of 10 years or longer must have a written justification attached to the STD-57.**

Analysis Checklist.

One of the ways to analyze and group records is by using a checklist. This is done by making a list of questions to be asked about each record series. Since the analysis checklist is a tool, the list should be thorough but not overly detailed. The list is generally broken down into the three value groups mentioned above. It should be used to make sure that all values of a record series are determined before the retention schedule is prepared.

Knowing that each agency's record holdings are different, no one list will apply to all, but agencies may adapt this outline when designing a checklist.

1. Administrative Value.

- Is the record series covered by any of the general records schedules?

- Has this record series ever been used to study the development or effectiveness of a program or policy?

- Does this record series provide new data for research projects?

- Is this record series vital to agency functions? If so, for how long?

- Could the agency carry out its functions if the records were lost? If not, could the information be obtained from other sources?

- What is the current reference rate of this series?

- When does the reference activity cease?

- How long must this record series be in the office?

- How long should it be kept in the State Records Center?

- Should it be destroyed?

2. **Fiscal Value.**

- Is the record series covered by any of the general records schedules?

- Does this record series control or document the generation, expenditure, or movement of public funds?

- How long is this record series needed to administer the funds?

- What are the audit requirements of the funding authority?

- Are there any regulations covering retention of audited records? Cite the regulations and retention period.

- How long must this record series be kept to meet all fiscal and audit requirements, in total years and months?

- How long must these records be kept in the office?

3. **Legal Value.**

- Is the record series covered by any of the general records schedules?

- Does state or federal law require the creation of this record series? Cite the law.

- Are there state or federal regulations covering the retention of this record series? Cite the regulations and retention.

- Are these records state licenses or regulations?

- How long are these licenses or regulations valid?

- Does this record series prove the state's claim to property?

- Is this record series necessary for the state to prosecute an action?

- Is this record series necessary for the state to defend against an action?

- Is this record series necessary to protect the rights of citizens?

- How long must this series be kept to meet all legal retention requirements, in total years and months?

- Is this record series maintained by the agency legal office and restricted by attorney-client privilege and/or work product doctrine?

Archival Value.

The decision to appraise a record series as archival is the sole responsibility of the PHMC. As part of the scheduling process, the PHMC has the responsibility to review all STD-57 forms to determine if the records have archival value. If the PHMC determines a record series might have archival value, PHMC staff will notify the agency's Records Coordinator and schedule an appointment to review the series if the STD-57 does not contain enough information to complete the appraisal. If the series is maintained by the agency legal office and is restricted by attorney-client privilege and/or work product doctrine, agency legal counsel will have to be contacted regarding the PHMC appraisal process. Under no circumstances may these records be reviewed without authorization from the agency's legal counsel.

Scheduling Records.

State government records exist in various types and media. Correspondence, reports, vouchers, bills, maps and ledgers are examples of types of records, while media may include paper, magnetic tapes and disks, optical disks and microfilm, among others. No matter what the type or media, these records are a valuable resource which must be identified and scheduled in accordance with records management program procedures issued by the Secretary of Administration.

Presently, there are two types of records schedules for executive branch agencies:

1. General Records Schedules control the disposition of records relating to common functions performed by or for most state agencies. Since these schedules have been approved by the Executive Board, they provide continuing authorization for the disposition of records that have met the designated retention requirements. Currently there are **four** general records schedules: General Accounting, Personnel, General Records Schedule for Disposable Electronic Records, and General Administrative Records Retention and Disposition Schedule for Records Common to Most Agencies.

2. Agency-Specific Records Schedules are prepared by state departments, boards, and commissions to control program-specific records not covered by any of the general schedules. Agencies are required to routinely update their schedules, a process which involves preparing Forms STD-56 and 58 for final review and approval by the Executive Board. In the case of new record series or in those instances where agencies are resubmitting entire schedules, Form STD-57 must also be completed.

The Scheduling Forms.

To complete the scheduling process, the information on Form STD-57 should be transferred to the appropriate scheduling forms. These are Forms STD-56, Records Retention Schedule Addition or Amendment, and STD-58, Request for Records Action. These forms can be used whether adding, amending, or deleting one or several record series.

Detailed instructions on completing the above mentioned forms may be found in Appendix 3, Forms, of this manual.

Compiling the Schedule.

After it has been confirmed that all records in the agency have been inventoried and analyzed, it is time to put together the records schedule. The agency-specific records retention and disposition schedule is prepared directly from the STD-57 forms. When an agency completes the inventory and determines retention periods, the agency Records Coordinator is responsible for having the series listed on the STD-57 forms converted to record series or item numbers on Forms STD-56 and STD-58. A **series or item number** is a unique number assigned by the agency to designate a record series when describing records on those forms.

All record series or item numbers are to be assigned in ascending order. The next available number is always used to avoid gaps in the system. Numbers that had been previously assigned to now defunct and deleted programs **may never be used again**.

To identify the duplicate copies of the same record that are kept in different formats, the following suffixes have been assigned:

      A =   master silver microfilm negative (not for reference use)
      B =   diazo or other microfilm copy for reference use
      E =   electronic format
      V =   vital record copy

The use of any prefixes or suffixes in the numbering system other than those listed above should be avoided. Contact DRAIS staff for advice before developing a numbering system utilizing suffixes.

Usually, each record series will receive its own individual schedule item number. However, there are instances, where for the sake of brevity, it will be advisable to identify similar files with identical retention periods with the same schedule item number. For example, if the program subject files of all five divisions in a bureau have the same recommended retention period, they could be described and listed under one schedule item number. The title and description of such an item should be written to clearly identify this as a generic item common to several units. For example:

      Series or Item #:   122

      Series Title: Subject Files of the Bureau of Archives and History Division Chiefs

      Description: Each Division Chief in the bureau maintains a subject file pertaining
                         to his/her specific division program responsibilities.

In order to ensure either the prompt destruction of files or their timely transfer to the State Records Center and in some instances to the State Archives, all the records covered under one specific agency schedule series or item number must share one common retention period. This means that records with widely varying retention needs should not be filed in the same record series, and record series with different retention periods should not be listed under one single schedule item number on an agency records schedule.

Record series considered permanent by an agency should be identified by using "999" in the Retention for Agency field on the STD-56 and the retention fields on the STD-57.

> **Note: Records may not be destroyed or transferred to the State Records Center without being included on an approved records schedule.**

Using General Schedules.

In evaluating records and preparing their own schedules, agencies should use the four existing general records schedules. A **general records schedule** is an Executive Board approved schedule governing the disposition of records common to several or all agencies.

These schedules were developed by the Office of Administration, Office of the Budget, and the PHMC for the management of accounting, personnel, administrative and certain electronic records common to all state executive branch agencies, boards, and commissions.

1. *General Accounting Records Retention and Disposition Schedule.* This schedule, as designed and monitored by the Office of the Budget, Bureau of Financial Management, is directed to comptrollers, budget directors, fiscal officers, and purchasing administrators. It serves as a reference source and authority for the retention and disposition of financial records. These records are identified both by form numbers and record series.

2. *Personnel Records Retention and Disposition Schedule.* This schedule, as designed and monitored by the Office of Administration's Bureau of Personnel, is directed to personnel officers, the Civil Service Commission, and retirement administrators. It serves as a reference source and authority for the retention and disposition of personnel records. These records are also identified both by form numbers and record series.

3. *General Records Schedule for Disposable Electronic Records.* This schedule provides disposal authorization for certain electronic records and specified hard copy (paper) or microform records that are integrally related to the electronic records. This schedule applies to disposable electronic records routinely stored on magnetic media by executive branch agencies in central data processing facilities, including those operated for agencies by contractors. It covers records created by computer operators, programmers, analysts, and systems administrators in order to store and maintain computer files in such facilities; certain master files, including some that are components of database management systems; and certain files created from master files for specific purposes.

4. *General Administrative Records Retention and Disposition Schedule for Records Common to Most Agencies.* This schedule provides agencies with minimum retention periods and disposal authorization for certain administrative records.

Modification of the Schedule.

Schedules are created to identify records that agencies create, collect, or receive in the daily transaction of government business. They specify how long agencies want to keep the information in their offices or at the State Records Center, and the designated method of disposal of each record series. Over time, the content of the records and their retention periods may change, and agencies will then need to modify their schedules. Modifications requiring approval include:

1. Additions. When a new record series is to be added to a schedule, the next available record series or item number is to be assigned, along with the title, description, format, and retention and disposition requirements. Record series or item numbers previously deleted from a schedule will **not** be reused.

2. Amendments. An existing record series title, description, or retention and disposition requirements may be changed when required by operations. Amendments should be moderate changes of existing record series. If a major change is required, it may be necessary to delete the existing record series and add the amended series as a new item.

3.   Deletions.   Organizational and procedural changes usually result in the removal of some records from the schedule.   Documentation associated with a discontinued program must be accounted for on Form STD-58.   When a deleted record series or discontinued program involves items at the State Records Center, the Center will contact the agency for instructions on handling the records.   For records that are considered archival, DARMS staff will contact the agency about the transfer of existing records to the State Archives.

Completing the Forms.

To add a new schedule item to the schedule, an agency must follow steps 1 through 5 below.   To amend or delete a current schedule item, an agency must complete steps 2, 4, and 5.

1.   Complete Form STD-57, Records Inventory and Analysis.

2.   Complete Form STD-56, Records Retention Schedule, Addition or Amendment.

3.   Assign the new record series the next ascending record series or item number.

4.   Complete Form STD-58, Request for Records Action.

5.   Secure appropriate agency endorsements and forward above forms to the PHMC for review and further processing.

Schedule Authorization.

Whether compiling a new schedule or adding to, amending, or deleting from an existing schedule, the appropriate forms must be sent to DRAIS, whose staff has the responsibility to review the forms to verify the accuracy and completeness of the information describing the scheduled items.   As part of this review process, the records are appraised by DARMS staff to determine if they have archival value.

Following this process, which may involve further consultation with the originating agency, the request is forwarded for final approval as outlined in *Management Directive 210.5.*

Following approval by the appropriate authority, the documentation is returned by DRAIS to the agency Records Coordinator for implementation of the recordkeeping plan.   Records Coordinators should check the approved paperwork for records that may have been deemed archival and make program staff aware of the long-term value of these records. **Records destruction is not authorized until the requesting agency is in receipt of the official Executive Board Resolution.**

CHAPTER 7

RECORDS DISPOSITION

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RECORDS DISPOSITION

General records schedules (Accounting, Personnel, General Administrative, Disposable Electronic Records), along with agency-specific records retention schedules, direct and authorize the disposition of records maintained by executive branch departments, boards and commissions. The term **disposition** refers to actions taken regarding records no longer needed for current government business. These actions include transfer to the State Records Center, transfer of permanent records to the State Archives, and the destruction of records. **Final disposition** refers to the destruction of non-permanent records or transfer of permanent records to the State Archives as mandated by the appropriate retention and disposition schedules. For most records, the final disposition is destruction once they have fulfilled their use and met the retention requirements. For less than five percent of records, the final disposition involves transfer to the State Archives for permanent preservation. In both instances, these final actions may have been preceded by a period of storage at the State Records Center.

Destruction of Records.

Executive Board approved general and agency-specific records schedules provide state agency personnel with legal authorization to destroy records in conformance with schedule guidelines and existing records *Management Directives* and statutes. Records schedules are not officially adopted until approved by Executive Board resolution. Executive Board approval must also be obtained before destroying inactive, unscheduled records relating to a discontinued program. To begin this approval process, agencies must submit the Form STD-58, Request for Records Action, utilizing the section covering the disposal of records of discontinued programs.

> **Remember: Until an approved Executive Board Resolution is returned to the agency, no destruction of records can take place.**

Disposal Codes.

Disposal codes are used to direct the final disposition of records. Records must be disposed of according to the assigned disposal code on the most current Executive Board approved retention schedule. There are five disposal codes that are assigned either by the administering agency or by the PHMC.

The three codes assigned by the agency are:

1 – No special handling.   This means that when the records are ready for destruction, no special precautions will be taken.

3 – Shred.   This category is usually selected for the destruction of confidential records. At this time, the State Records Center does not provide shredding services.

5 – Return to Agency.   This means that the records must be returned to the administering agency when the retention period at the State Records Center has been completed. This category is selected when the agency wants to make a final review of the records series before its destruction.

6 – Delete.   This is for electronic records. When electronic records have met their retention period, they may be deleted.

There are two codes assigned by PHMC staff to direct the handling of records that may have archival or historical value which warrant permanent preservation.   These codes are:

2 – Review.   An Archivist assigns a Code 2 when a preliminary review or the description on the Form STD-57 indicates the record series may have archival or historical value.   A Code 2 supersedes any disposal code assigned by an agency.   This means that the records assigned a Code 2 **cannot** be destroyed without written permission from the State Archives.   Upon completion of the retention period in the agency and/or the State Records Center, the record series is reviewed by DARMS archivists who then decide whether to transfer part or all of the series to the State Archives or to allow disposal of the entire series.

4 – Retain.   An Archivist assigns a Code 4 to a series when the records have been reviewed and appraised to have sufficient archival or historical value to warrant their preservation at the State Archives.   A Code 4 assigned by an Archivist supersedes any disposal code assigned by an agency.   The State Archives will process these records according to professional archival practices which may involve purging duplicates and extraneous materials.

If the records are maintained by the agency legal office and are covered by attorney-client privilege and/or work product doctrine, the Records Coordinator must contact the agency's legal counsel to work with the Archivist in appraising these records.   Under no circumstances may these records be reviewed without authorization from the agency's legal counsel.

Transfer to the State Records Center.

Inactive or semi-active agency records that must be retained to satisfy some continuing administrative, legal, or fiscal requirement may be transferred to the State Records Center.   That facility **can accept only those records that are authorized for transfer** to the Center by an existing general or agency-specific records schedule. It is important to know that the records stored at the Center remain the property of the originating agency and cannot be referenced or destroyed without the approval of that agency.

Transfer to the State Archives.

Inactive agency records that have archival value and are no longer needed to transact agency business should be transferred to the State Archives.   It is the responsibility of the PHMC to determine which agency records have sufficient archival or historical value to warrant their continued preservation at the State Archives.   Records are routinely appraised by DARMS archivists as part of the scheduling process.   Such records will be transferred directly from the agency or the State Records Center in accordance with approved schedules.   Once records are transferred to the Archives, they are no longer under the jurisdiction of the originating agency, but become the property of the State Archives on behalf of the Commonwealth and are processed according to professional archival practices.   The records may, however, be referenced by agency personnel when needed.

Destruction Methods.

The primary object of destruction is to reduce the information to an illegible condition.   The most common methods of destruction are shredding, burning, recycling, erasure, or general disposal.   For paper records that have no special disposition requirements and are not confidential, recycling is the preferred method of destruction.   For microforms, tapes, and disks, the preferred method of disposition is to shred or physically destroy the recording medium.

The method of destruction depends largely on whether records contain confidential information. Only confidential records need added security to ensure that the information contained is reduced to an illegible condition. Burning or shredding is considered the most effective means of accomplishing this objective. At this time, the State Records Center recycles all the paper when it disposes of records. To ensure that confidentiality is maintained, the Commonwealth has added a confidentiality clause to its agreement with the recycling vendor. For further information on the disposition of records, contact DRAIS.

CHAPTER 8

MICROGRAPHICS

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MICROGRAPHICS

Micrographics is that field of information processing that encompasses the creation, use, and storage of microforms.   **Microform** is a generic term for photographic information storage media containing mini-aturized images, including both roll film and microfiche.   **Microfilming** is the photographic process of creating reduced images of documents on film.   In recent times, the term micro-imaging has emerged to embrace an even broader field, incorporating the integration of micrographics and computer technology.   A micrographics system is an information storage and retrieval method that utilizes the special advantages of microfilming in the areas of space saving, reproducibility, durability, file integrity, and retrievability.

Microfilm is used by business and government in a variety of applications.   Microphotography in its many forms can be used cost-effectively as a records management technique.   Microforms have the potential for replacing paper in the recording, use, storage, or dissemination of information.   For microfilm to be used effectively and efficiently, a basic understanding of the advantages, correct applications, formats, specifications, and cost is necessary.   A decision to microfilm should include a review of the agency's records retention schedule.   By using the retention schedule, which is based on the inventory and appraisal of agency records, management will be able to make informed decisions about which, if any, records to microfilm.

This chapter will explain the use of micrographics as a records management tool.   This will be done in two parts: first, a look at the use of micrographics within executive branch agencies, and second, a description of the role and services of the Document Image Services Center.

Statutes and Directives.

The use of micrographics by executive branch agencies is controlled by *Section 525* of *The Admin-istrative Code of 1929* and *Management Directives 210.4* and *210.8.*   Under these regulations, the PHMC is responsible for overseeing agency use of micrographics technologies.

Section 525 allows participating agencies to "... have microfilm records made of any correspondence, records, or other papers for the purpose of protecting and safeguarding the original correspondence, records, or other papers, or for the purpose of conserving filing space."

Management Directive 210.4 establishes policy, responsibilities, and procedures for requesting microfilming, microfilm equipment, and microfilm services.

Management Directive 210.8 establishes procedures to ensure that standards are being met regarding the accuracy, usability, longevity, and legal acceptance of microforms generated by agencies subject to *The Administrative Code of 1929.*   Agencies should refer to this directive for information on the required standards for filming, processing, inspection, handling, and storage of microforms.   These standards are periodically reviewed and updated to conform with American National Standards Institute (ANSI) and Association for Information and Image Management (AIIM) practices.

For further information on micrographics procedures and standards, refer to *Management Directives 210.4* and *210.8,* available through the Office of Administration, Executive Board/Directives Management System.

Needs Assessment.

Micrographics should be approached with the same careful consideration as the development and installation of a computer system. Both technologies are cost-effective in appropriate applications but can consume large amounts of money and resources with little benefit when inappropriately applied. Micrographics alone cannot bring order to a chaotic recordkeeping system. If the underlying records system is inefficiently operated, the application of information and micrographics technology will not correct the deficiencies.

Before investing in a micrographics system, an assessment should be completed to determine if the agency could benefit from its use. An agency should consider the following factors when analyzing records for filming:

1. How will the microfilm be used? Are the records used by one office or multiple offices? How often are the records referenced, and by whom? How long do they need to be retained? For records that require concurrent access in several offices or long-term retention, microfilming may be the most convenient system to meet usage demands.

2. What format will be needed?

a. Sizes of Microfilm. There are three common widths of microfilm on the market today: 16mm, 35mm, and 105mm.

b. Types of Microforms. There are two broad groups in terms of physical appearance:

(1) Roll Microfilm:

(a) 16mm microfilm reels – suited for recording:

1 Index cards.

2 Legal size documents.

3 Normal or undersized volumes (11 x 14 inches or less).

4 Brochures or handouts.

(b) 35mm microfilm reels – suited for recording:

1 Large volumes or documents.

2 Newspapers.

3 Photographs.

4 Blueprints and maps.

5 Engineering drawings.

(2) Unitized Microforms:

(a) Microfiche (usually 105mm x 148mm; 4" x 6") grid pattern suited for recording:

1 Pamphlets.

2 Printed, typed documents of uniform size.

3 Reports.

4 Published magazines, catalogs, and books.

Quantity of pages per fiche is dependent on reduction ratio:

- 24X reduction = 98 images/fiche
- 42X reduction = 208 images/fiche
- 48X reduction = 270 images/fiche

(b) Aperture Cards are cards with rectangular opening(s) specifically prepared for the mounting or insertion of microfilm, or a processable card of standard dimensions into which microfilm frames can be inserted.   Aperture cards are suitable for recording:

1 Maps.

2 Charts.

3 Posters.

4 Engineering drawings or blueprints.

(c) Microfilm Jackets (transparent plastic carriers with single or multiple sleeves designed to hold strips of 16mm or 35mm microfilm or a combination of both).

(d) Ultrafiche (usually contains micro-images shot above a reduction of 90X and requires special readers).   Used primarily as an "edition process" microform (3,100 images on one 4 x 6 inch fiche shot at 150X).

3. Which records will be microfilmed?

a. Loose documents.

b. Bound volumes.

c. Maps, blueprints, etc.

d. Oversized materials.

e Computer generated reports (COM).

f. Published or printed items.

4. Retention Schedule. A decision to microfilm should not be made unless the agency has a records retention schedule that has been approved by the Executive Board. By using the retention schedule, which is based on the inventory and appraisal of an agency's records, management will be able to make informed decisions about which, if any, records to film.

Microfilmed records can require as little as two percent of the space occupied by the same records on paper. However, space savings alone is not a reason to microfilm an agency's records. Microfilm should not be expected to eliminate basic weaknesses in the present recordkeeping system.

Cost/Benefit Analysis.

After completion of a needs assessment, Form STD-65, Microfilm Requirement Analysis, should be completed to determine whether microfilming is a financially and functionally appropriate way to manage information within the agency. Form STD-65 is a structured cost benefit study used by DRAIS and the Executive Board to approve or reject agency requests to microfilm records. In order to assess costs and benefits of potential applications, information is needed on the costs and problems of the current system and careful consideration must be given to the effect of micrographics on agency staffing, funding, and operations. An agency's records management needs often change due to growth, new legislation, or internal policies. This study should reflect the present and projected needs, and may have to be done again when conditions change.

> **Note: Agencies are encouraged to contact the Document Image Services Center staff for assistance in conducting the cost/benefit analysis and in completing Forms STD-65 and STD-66, Request to Acquire Microfilm Equipment.**

The following are major components that should be included in any cost analysis:

1. Equipment Costs. Cameras, readers, digital or analog reader/printers, inspection equipment, office furniture, etc. Consider the following: purchase or rental of necessary equipment, work stations and accessories, maintenance costs, and other recurring costs, i.e., replacement parts. Prices for purchase, lease, and maintenance of equipment should be obtained from local vendors or state government price catalogs. Estimating the amount and type of equipment depends on the application and size of the operation.

2. Supply Costs. This includes camera film, copy film, microform carriers, software for computer integrated applications, etc. In addition, there may be expendable supplies, such as processor chemicals, ammonia, paper stock, and printing chemicals. A supply of camera lamps, reader bulbs, forms for targets, and control forms will be needed. Unit prices for supplies should be obtained from local vendors or state government price catalogs.

3. Personnel Costs. Personnel costs are usually the largest item in a micrographics budget. This includes the salaries and fringe benefits of microfilm operators, document preparation clerks, and management personnel.

4. Overhead Costs. Could include the cost of facility space, electrical power, etc.

5. Miscellaneous. Installation of new microfilm systems and costs associated with preparation of the facilities should be considered so that budgets will be adequate to handle any necessary changes to the facilities. This includes: site preparation, darkroom installation, new plumbing, exhaust venting for chemical fumes, air conditioning, storage environmental controls, etc.

6. Service Bureau Costs.   These costs should be calculated for comparison with any or all of the components of an in-house micrographics operation. Government operated and privately owned service bureaus should be compared to determine if they are a viable alternative to in-house operations.

Benefits of a Micrographics System.

1. Space Savings.   Replacing paper documents with microfilm will achieve a space saving of over 95 percent, assuming that the original paper documents are destroyed after filming. For inactive records, space savings should be weighed against the cost of storing original paper copies in a low-cost storage facility. In some cases, many years of storage can be purchased for less than the cost of microfilming the records.

In the case of active records microfilming applications, space savings is usually not a primary consideration; however, one active application that does result in immediate space savings is computer output microfilm (COM).   In this case, paper printouts are usually not created in the first place.

2. Access/Information Retrieval and Distribution.   Timely retrieval of information is one of the central goals of records management.   Access can be improved due to the concentration and ease of manipulation of microfilmed images.   Data on film may be easier to store, retrieve, duplicate, and refile than paper records.   Computer-assisted retrieval (CAR) has been a primary breakthrough in rapid, easy-to-access microfilm.

Because duplicating microfilm is a relatively inexpensive process, it is a good way to provide copies of a record to multiple offices that need simultaneous access to the information.   The use of microfilm also enables offices that have high public demand for a record to keep several copies on site, permitting more than one person to research the same record simultaneously.

3. Security.   Security is attained by the off-site storage of the original roll of microfilm in an environmentally controlled location.   By storing the film off-site, a disaster at one site will not result in the irretrievable loss of valuable information, thus enabling an agency to protect its important records.   Some micrographics applications are designed primarily for security with little or no consideration for the space saving and accessibility benefits.   If the records are irreplaceable or vital, this security factor alone may be adequate justification for filming.   Microfilming for security purposes alone should only be done when the record's loss would expose the agency or the citizens it serves to financial loss or legal liability.

4. File Integrity/Control.   Paper documents can be misfiled or lost.   Once documents are placed in their proper arrangement and captured on microfilm, they are most likely to stay in correct order despite heavy or prolonged use.   For offices that have a large quantity of records in constant use, microfilm may be an effective tool to prevent records loss.   As an additional security measure, some offices are filming active records before filing them to ensure that a copy of the document will be available if the original is subsequently missing from the file.   Built-in protection against misfiling can be a standard feature of any microfilm system.

5. Cost Saving Potential.   If well planned and maintained, a microfilm program can produce cost savings through decreased storage costs and increased retrieval efficiency.

6. Low Cost Distribution.   Film duplicates are inexpensive to produce and can be mailed at a lower cost than the corresponding paper records.

7. Protection of the Original Record.   Microfilm copies of important records can be used for reference instead of the original document.   Also, if filmed, processed and stored properly, the life span of historically valuable information can be maintained by microfilming and duplicating as necessary.

8. Reversion to Paper. If necessary, a paper copy of the original document can be produced from the microfilm image.

9. Legal Validity. Microfilm is considered legally acceptable as evidence in a court of law in place of the original record. Microfilm used to substitute for the original records should be created and inspected in conformance with the microfilm standards as stated in *Management Directive 210.8.* After microfilming, the original records may be destroyed provided the microfilm meets the requirements of *Management Directive 210.8* and the retention requirements listed on an approved agency records schedule.

Disadvantages of a Micrographics System.

1. Cost. The savings from using microfilm can be great, but the entire microfilming process can be very expensive. The process involves preparing the documents, filming, processing, quality control, and duplicating. Added to these costs are the necessary equipment and supplies.

2. Equipment. The production of and ability to read microfilm requires specialized equipment. Cameras, readers, and reader-printers can be expensive to purchase and maintain.

3. Quality Control. For microfilm to be used effectively, it must meet all required standards as listed in *Management Directive 210.8,* and be filmed and indexed in a logical order. Microfilm that contains images that are illegible or items that are filmed out of order or indexed improperly are useless to the agency.

4. Training. Agency personnel must be properly trained in the use of equipment and, more importantly, in microfilm quality control standards.

5. Storage. Film is a very sensitive medium that needs special handling to assure its usefulness and longevity. Microfilm must be stored under constant environmental conditions as detailed in *Management Directive 210.8.* In addition, a security copy of film containing permanent, long-term or vital records should always be stored in an off-site location.

Role and Services of the State Document Image Services Center.

The State Document Image Services Center (DISC), formerly the State Micrographics Center, provides services to state agencies on a charge-back basis in accordance with *Management Directives* governing the creation and use of microform copies of executive branch agency records. Applications are designed to meet specific agency needs. The DISC is located within the State Records Center Building at 1825 Stanley Drive, Harrisburg, PA 17103. The Center operates twenty-four hours a day, Monday through Friday, and offers free pick-up and delivery service to offices in the Harrisburg area.

The following services are currently provided by DISC:

Computer Output Microfilm (COM). COM is a microform containing data produced by a special recorder from computer-generated electrical signals. This process converts computer-generated information, both data and bit-mapped images, directly from magnetic tape or cartridge to various microfilm formats. Currently, DISC has two state-of-the-art COM recorders with bit-mapped imaging capabilities each with 400-page-per-minute speed, capable of generating negative archival quality film in a 105mm fiche or 16mm roll format. As many as 270 computer pages can be placed on one COM fiche. The Center has Image Direct Bitmapping COM software that allows for cost-effective file conversions and image transfer to film as .tiff (Tagged Image File Format) images. Tiff images are produced by most electronic imaging systems.

CD-ROM Mastering and Duplication Services. The Center offers CD-ROM mastering and CD-ROM duplication services. Mainframe greenbar-style report conversion or COM applications can be mastered to a CD-ROM with a dual index. File transfers can be made via the Commonwealth's Metropolitan Area Network (MAN). CD-ROM mastering is accomplished by using three servers and two CD burner systems, allowing up to four CD-ROMs to be written simultaneously. User customized CD duplication of user supplied CDs is also a service available at the Center (only where licensing issues allow for duplication).

Microfilm Scanning. The Center has two microfilm scanners capable of converting microfilm to electronic digital image file formats for importation into imaging or Internet applications. Converted files are placed into user-defined folders. Completed image/index data is returned to the user via CD-ROM or MAN via FTP. The scanner is capable of scanning most of the commonly used microfilm mediums 16mm, 35mm roll film (Open reel, ANSI or 3m cartridge) and 105mm fiche formats (COM, step and repeat, jacketed, or updatable microfiche). Enhancement of poor quality images and conversions to grayscale is available.

Source Document Scanning. The Center can scan paper business-sized documents (up to 11" by 17") on production-style duplex scanners at 200 or 300 dpi (dots per inch) resolution. Color scanning is done utilizing a high quality flatbed scanner. User files are output to .tiff, .pdf, or .jpg file formats in user-defined directories. Files are returned to the customer via CD or the MAN via FTP.

Book Scanning. Book scanners can digitize books, newspapers, periodicals, and plans without damage to the original and without having to remove and replace individual sheets. The scanner is equipped with a book cradle that can handle books up to 13" in height which avoids damage to sensitive spines of books. Documents can be scanned at 200 or 300 dpi (dots per inch).

Large Format Scanning. The large format scanner can handle color or black and white input up to 50 inches wide by virtually any length. The scanner can scan regular paper originals as well as rigid materials such as cardboard and foamboard up to 0.6" thick. The scanner has the capacity to scan up to 800 dpi and as low as 50 dpi and output to over 50 different file formats. The choice of resolution ensures optimum handling of all drawings. Lower resolutions reduce file size for posters and maps. Higher resolutions provide the details required for documents with fine lines and enhance images. These high resolutions and a full 36-bit color depth give the assurance of outstanding image quality.

Image Conversions. Image File conversion to PDF file format is one of DISCs most popular service options. PDF image only and image with hidden text are available. Image enhancement of poor quality image files improves readability and can reduce file size without sacrificing legibility.

Source Document Microfilming. The Center films original paper records using either a 16mm rotary intelligent roll film camera or scan-to-film bitmapped 105mm fiche. Film formats are recommended depending on the type of records to be filmed, the user's needs and the type of retrieval.

Microfilm Processing and Duplication. The Center processes all microfilm produced by the Source Document and COM units. Master film duplication is available in all formats. Roll film may be duplicated on silver, diazo, or vesicular 16mm or 35mm film stock; and microfiche duplicates are available on diazo film only. The Center inspects all microfilm to ensure that it meets guidelines established in *Management Directive 210.8* and conforms to standards issued by ANSI/AIIM. Scan-to-film fiche meet similar standards for bitmapped microfilm.

Technical Assistance. The Document Image Services Center provides technical assistance, upon request to state agencies. The staff has extensive knowledge and experience in media conversion and is available to assist or advise agencies on the proper use of micrographics technology and hybrid technologies. This includes consultative assistance with format recommendations, job specifications, COM orientation, and cost proposals.

CHAPTER 9

ELECTRONIC RECORDS

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ELECTRONIC RECORDS

Electronic records are made up of binary bits that represent data as some combination of ones and zeros. The bits are then translated into "alphabetic" systems that computers can read via standard code sets. There are two common alphabetic systems: the American Standard Code for Information Interchange (ASCII) and the Extended Binary Coded Decimal Interchange Code (EBCDIC).

Electronic records include data files, databases, word processing files, electronic spreadsheets, and electronic mail, as well as other text or numeric information. These types of records are becoming increasingly common throughout state agencies as office automation software packages are being used to support agency missions.

Electronic records are covered by the records management program because according to *Management Directive 210.5*, a record is defined as "Any recorded information, regardless of physical form or characteristics, that documents a transaction or activity of an administrative department, board, or commission and that is created, received, or retained by such administrative department, board, or commission pursuant to law or in connection with the transaction of official business." In the records management field, the term "electronic record" is used to differentiate between documents created and/or stored on computers from paper records.

An **electronic records management program** is a planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information created and/or stored on electronic media. The program encompasses the creation, maintenance, use, and disposition of electronic records. It is important to remember that the electronic records management program focuses on the control of information created and/or stored in electronic format. It is not just the management of electronic records storage media such as tapes, disks, or cartridges.

The management of electronic records is of significant concern as more state employees are using personal computers to complete their work. Increasingly, records are being created in electronic form and are never being converted into any other format, such as paper or microfilm. Because of the technological characteristics of electronic records and the complexity of their use, even more thoughtful application of sound records management principles needs to be given to their creation, maintenance, and final disposition.

This chapter concerns records produced on personal computers, mainframes, wide area networks, local area networks, and minicomputers. Electronic imaging and CD-ROM technology are covered in Chapter 10. The information in this chapter should be used in conjunction with *Management Directive 210.10* and applicable *Information Technology Bulletins* to properly understand and implement a successful electronic records management program.

Definitions. (See Glossary, Appendix 2)

Types of Electronic Records.

The advent of office automation software and emerging technologies has made identifying the type of electronic records difficult. Software applications can now combine text, graphics, and sound in the same record. However, there are several recognized electronic record formats that can be identified.

Text. Text documents are words, sentences, and paragraphs. Text processing refers to the ability to manipulate words, lines, or pages. Typically, the term text refers to text stored as ASCII codes; that is without any formatting.

Database and Database Management.   A collection of information organized in such a way that a computer program can quickly select desired pieces of data.   It is, in essence, an electronic filing system organized by fields, records, and files.   It may include text, pictures, films, audio files, etc.

Database Management System.   A collection of programs that enables you to store, modify and extract information from a database.

Graphics.   Any computer device or program that makes a computer capable of displaying and manipulating pictures, such as graphics devices, monitors, or boards.   Many software applications include graphics components and are said to support graphics.

Spreadsheets.   A collection of text and numerical codes or formulas that are entered into the computer and manipulated.   The information is entered in a grid format; however, the printed report contains different information – values instead of formulas.

Objects.   Any item that can be individually selected and manipulated.

Electronic Mail. The transmission of messages over communications networks.   The messages can be notes entered from the keyboard or electronic files stored on disk.   Some E-mail systems are confined to a single computer system or network, but others have gateways to other computer systems, enabling users to send E-mail anywhere in the world.

Multimedia.   The use of computers to present text, graphics, video, animation and sound in an integrated way.

Types of Storage Media.

Magnetic media are an aluminum or plastic film surface specially treated with gamma ferric oxide or iron oxide to create a magnetizable surface to record computerized signals that represent data for storage and retrieval purposes.   There are three common types of magnetic media:

Disks.   A round plate on which data can be encoded.   Two basic types of disks are magnetic disks and optical disks.

Hard Disk.   A magnetic disk on which you can store computer data.

Hard Disk Drive. The mechanism that reads and writes data on a hard disk. Disks are random access media.

Magnetic Disks. Data is encoded as microscopic magnetized needles on the disk surface, and may come in a number of different forms, i.e., floppy disk, hard disk, or removable cartridge.   Removable cartridges are hard disks encased in metal or plastic cartridge.

Optical Disks. Data is recorded by burning microscopic holes in the surface of the disk with a laser.   Optical disks come in three basic forms: CD-ROM, WORM (write once read many) and EO (erasable optical).

Magnetic Tape.   Computer magnetic tape is a fragile medium, highly susceptible to the generation of error by improper care and handling.   Magnetic tapes used for storing electronic records come in either open reel tape or cartridge formats.   Information stored on magnetic tapes can be recorded in either seven, nine, or eighteen-tracks, which indicates the number of parallel tracks the information is recorded on.   Storage densities are measured in bits per inch (bpi).   High performance drives operate at 6,250 bpi.   Lower performance drives use densities of 800 or 1,600 bpi.

> **Note: Disks are very susceptible to damage and are not suitable for the medium and long-term storage of electronic records.**

Roles And Responsibilities.

Often, electronic records have been neglected because it is assumed that a hard copy exists, or it is assumed that the information technology offices and information system managers handle electronic records management issues.   Since this is not always the case, it is evident that the effective management of electronic records requires cooperation between the Records Coordinator and the Information Technology Manager.

Records Coordinators need to be concerned with the same issues for managing electronic formats as with paper records: cost-effectiveness, retrievability, accessibility, legality, security, retention, and disposition.   In addition to the standard responsibilities associated with paper records, to control electronic records, the Records Coordinator should:

• Participate in the planning and implementation of information systems to ensure that all records are inventoried and all input and output documents have been scheduled.

• Review existing information systems to determine that all records in the systems have been inventoried, disposed of as authorized, and all needed revisions to the schedules or policies have been identified.

The Information Technology (IT) Manager is primarily concerned with the way technology can be used to create, edit, and store information, not necessarily the value of the information itself. However, the Information Technology Manager plays an important role in the agency's electronic records management program.

To effectively coordinate the management of an agency's electronic records, the Information Technology Manager and Records Coordinator should:

• Work with agency program managers to identify information and records needs for automation, including adequate retention periods for the information.

• Identify the applications supported by automated systems.   In keeping with proper system documentation, the information technology staff should describe their purposes, informational content, and the main stages through which the data flow.

• Work with legal staff to determine when information in the system affects the legal rights and interests of the agency and of those persons affected by agency decisions and actions.

The Information Technology Manager should also:

• Develop and implement information system plans to meet agency needs and ensure the systems are developed with a means of purging information when retention periods are met.

• Notify the Records Coordinator when planning a new system or substantial modifications to an existing system. Before conversion or migration to a different system, an agency must determine that the authorized dispositions of the electronic records can be implemented after conversion or migration.

• Notify the agency manager and the Records Coordinator of technology changes that affect record access methods or the retention of data and records.

The widespread use of computers by nearly every employee has moved the responsibilities for preparing, filing, and maintaining records from file clerks and secretaries to the individual user. The Records Coordinator and Information Technology Manager must develop policies that differentiate between personal information and official records, and ensure that the latter are included on the agency's records retention schedule, and train agency staff to delete personal or transitory information as soon as possible.

Recordkeeping Requirements.

Automated information systems involve creating, altering, and deleting data. The procedures for controlling data input and for updating and deleting data must be determined as a part of system design. They are determined primarily by ongoing needs for conducting current business. During the system design phase, the agency also needs to decide whether any of the data may have value for purposes not previously identified. If so, the agency must define the nature and duration of such needs and adjust the system design accordingly. In short, the agency must establish recordkeeping requirements.

The information needed to establish recordkeeping requirements and retention periods for records can also serve as a catalyst for answering many management questions that should be addressed when designing or updating an information system:

1. What is the system's purpose? Does it serve different purposes for different users? Do the different purposes reflect different needs for retaining data?

2. What input is needed and how long should it be retained? Is it needed for legal or audit purposes?

3. How long does information need to be kept on-line? Are on-line retention requirements directly mapped onto records or data sets?

4. If the agency no longer needs data on-line, does it need to retain it off-line? For how long?

5. Can requirements for retention and disposition of data be integrated with system design and operations, for example with update procedures, regular backup operations, creation of history files, subset files, and public use data sets?

6. What will be done with the reports stored on paper, electronically, or computer output microfilm (COM), generated by the system?

7. Are multiple copies of the data needed? If so, in what media? In what locations? Do all media need to be maintained for the same length of time? What will happen to the different media, and when? How will the integrity and authority of the data be ensured?

8. Is the information in the system part of the agency's vital records program? If so, what provisions must be made to ensure availability of the information in emergency situations?

9. Who is responsible for maintaining up-to-date, authoritative documentation of the system and the data it contains? Where will the documentation be maintained?

Legal Admissibility of Electronic Records.

When effective recordkeeping requirements are implemented, electronic records should pose no greater legal problem than do paper or microphotographic records, unless there are specific laws or regulatory requirements for paper records. *The Federal Rules of Evidence (Rule 803)* provide for exceptions to the hearsay rule.

Under these rules, if the only record is electronic, agencies should ensure that procedures are established and followed so that:

1. The date of the record can be determined.

2. The date and detail of any alterations will be automatically recorded by the system.

3. It will be evident that the document was authorized to be issued ("signed") by an appropriate agency official. If these steps are not taken, the trustworthiness of the record could be questioned, and the record could be refused as evidence.

To enhance the legal admissibility of records in electronic format, trustworthiness must be established by thoroughly documenting the information system's operation and the controls imposed upon it. The following are ways to facilitate compliance with authentication requirements:

1. An administrator, identified by job title rather than employee name, should be designated for each system that creates or maintains electronic records.

2. The system's hardware and software characteristics must be documented in a manner that fully describes the role of each component in the creation and maintenance of a given electronic record being submitted as evidence. Software documentation should also include descriptions of all systems and applications programs involved in the creation and maintenance of electronic records. For custom-developed application software, flowcharts, source codes, program debugging procedures, and other developmental documentation should be included.

3. The accuracy and trustworthiness of electronic records can be affirmed by documentation of record creation procedures, as well as by descriptions of training given to data entry staff and other personnel responsible for records creation.

4. Electronic records must be protected from physical damage or tampering, which could impair their accuracy and trustworthiness. The specific protection measures employed by a given electronic recordkeeping system should be fully documented.

5. All aspects of system operation should be audited regularly for compliance with established procedures.

6. Audit trails should be developed that can record network or system activity, including who is accessing what data, what changes were made to the data, and when and how often this access occurred.

Documentation.

In order to ensure data integrity, the agency must prepare adequate documentation relative to developed applications and processing results. Current documentation of both the system and the data must be maintained until the system is discontinued. Technical documentation includes system architecture, data definitions, record layouts, data element definitions, and data dictionaries that identify and interpret all codes used to record data. Before an application is put into use, or even if it is already implemented, the following should be documented:

1. Specify all technical characteristics necessary for reading or processing the records, such as program execution instructions, logical and/or mathematical formulas used, and data elements contained within the application.

2. Identify all system input and output.

3. Define contents of the files and records.

4. Determine restrictions on access and use.

5. Identify the purpose and functions of the system.

6. Describe update cycles or conditions and rules for adding, changing, or deleting information.

7. Ensure the timely, authorized disposition of records.

Care of Electronic Equipment and Storage Media.

A few common sense do's and don'ts must be observed when handling and caring for electronic equipment and storage media. Additionally, special handling is needed to ensure the long-term preservation of electronic records. The first requirement is that program managers know specifically which files are permanent, what is to be done with permanent files, and when. This is even more important if computer files appraised as permanent are maintained in decentralized locations.

For everyone creating or using electronic records:

1. Back up electronic records on a regular basis. This is the single most important action users can take to ensure that the information they need will be available. It is strongly recommended that users store information on the agency's network drives to take advantage of the automatic backups. When users share a stand-alone personal computer, or have one on their desks, they should be encouraged to back up their files, preferably after every update. Duplicate copies of permanent or vital records should be maintained off-site.

2. Avoid the use of floppy disks for the exclusive long-term storage of permanent records. Experience shows that careless handling is much more likely with this storage medium than with magnetic tape. However, magnetic tapes can be damaged quickly when not properly stored.

3. Keep disk and tape drives clean and give them periodic preventative maintenance.

4. Keep disks and tapes away from strong electrical or magnetic fields, such as telephones, radios/ speakers, and desk lamps.

5. Do not touch the recording surfaces of disks, do not fold or bend them, and write on the paper jacket only when the physical media is not contained within the jacket.

6. Do not allow unauthorized persons to have access to the computer, disk, or tape files. Even persons with good intentions can enter commands that will delete files or reformat hard disks.

7. Keep food and drink away from storage media as well as equipment.

8. Store disks and tapes in a vertical position in a storage container.

9. Store disks under normal office conditions, taking care to avoid extreme fluctuations of temperature or humidity.

Security.

Caution must be used and preventative measures must be taken when dealing with security for electronic records that are created, used and stored on computer systems. The Office of Administration has issued a number of security related *Information Technology Bulletins*, most of which are contained within the I series: Security, Privacy and Business Continuity Planning (See also *Management Directives 205.29, 205.34, 210.12*, and *245.4*).

There are five major concerns relating to the protection of electronic records:

1. Physical Security Access. Physical security pertains to the use of locks, security guards, badges, and all similar measures to control access to computers and related equipment (including utilities) along with the processing facility itself. The need for physical security access continues to increase. Refer to *ITB I.1.5, Minimum Standards for Improving Physical Security Access*. Physical security includes:

a. Building Controls. Accessibility to Commonwealth facilities, including employee areas with access to computer technology (personal and portable computers, handheld communication devices, etc.), storage areas, server locations, exterior air-conditioning units, power and communication devices.

b.   Strategic Access Management Control.   Issuance and control of badges and/or keys to limited access areas.

c.   Computer Room Controls.   Specific physical security for computer rooms including the updating and reviewing of key card practices, procedures, and authorization of staff.

d.   Tape Library Controls.   Specific physical security for tape libraries including updating and reviewing the authorization of staff access, policies and procedures, off-site storage of tapes, disks, etc., and the release and acceptance of tapes.

e.   Inspections and Logs.   Inspections and reviews to ensure all security measures are adhered to including maintenance of logs (i.e., visitor log books, operation shift changes, etc.).

2.   Network Security.   Processing, storage and accessibility of data through Local Area Networks (LANs), Metropolitan Area Networks (MANs), Wide Area Networks (WANs), and Storage Area Networks (SANs) must be protected.   This includes but is not limited to granting authorization to users, identifying and authenticating users, creating passwords, granting system privileges and defining access paths for users, performing data, and program backup, etc.   If there is a need for transmitting confidential or sensitive data, encryption technology may need to be deployed.   Physical security of wiring closets, networking related computer equipment, etc, must be secure.   The use of firewall hardware, software, or a combination of both will need to be deployed for enhanced protection.   Refer to *ITB I.6.2, Detailed Network (LAN/WAN) Security Policy.*   See also *ITB I.7, Standard Software for Firewalls, Network Security.*

3.   Internet Security.   Processing, storage and accessibility of data/records through the Internet must be protected.   Access to Internet resources, data, communications, systems, etc., is granted on a need-to-know basis.   Many of the same security issues, as mentioned in the Network Security section, (#2 above) apply including authorization, identification, and authentication, granting privileges, system backup, information integrity, and confidentiality, and possible encryption technology may need to be deployed.   Consider utilizing Intranet systems, rather than Internet systems, if all users are within the MAN.   Refer to *ITB I.6.3, Detailed Internet Security Policy.*   See also *ITB I.7, Standard Software for Firewalls, Network Security.*

4.   UserIDs and Password Protection.   Each agency must be responsible for maintaining UserIDs and passwords for their particular agency applications.   Refer to *ITB I.1.4, Minimum Standards for UserIDs and Passwords.*

a.   UserIDs must be unique and identifiable.   Policy is established for maintaining userids including deletions, historical records, expiration days, access attempts, inactivity timeout periods, and disclaimer.

b.   Passwords must be comprised of a minimum number of alphanumeric characters.   There must be a limit to the number of days a user may have the same password as well as a minimum number of prior passwords a user may not select when updating the password.

5.   Computer Viruses, Worms, and Trojan horses.   A computer virus is an unauthorized program that replicates itself, attaches itself to other programs and spreads onto various data storage media (i.e., hard drives, floppy disks, magnetic tapes, random access memory, etc.) and/or across a network.   This can result in an inexplicable loss of files, changed modification dates for files, increased file sizes or total failure of computers.   Larger systems do not generally suffer from viruses, but they do suffer from worms and Trojan horses.   Worms are similar to viruses, but do not attach themselves to other programs. Trojan horses are destructive programs that masquerades as benign applications.   They do not replicate themselves.   Anti-virus measures must be implemented within each agency.   Refer to *ITB I.6.2, Detailed Network (LAN/WAN) Security Policy.*   See also *ITB C.7, Commonwealth of Pennsylvania Anti-Virus Standard and Policy.*

Personal Computer Files Maintenance.

The personal computer can be a storehouse of information, but the usefulness of the electronic records is directly impacted by their organization and integrity. The accessibility of electronic document files for use as needed by the agency, and the efficient management of records in electronic format, will be enhanced by arranging and standardizing files in a logical order (perhaps by record series), and stored on network drives.

A standardized approach to naming files is critical, regardless of whether an office system uses decentralized personal computers or an office network. With manual filing systems, office staff members are familiar with the basic file categories and file folder labels that permit them to request or retrieve a file or document. Naming and filing electronic documents is more complicated because few offices have conventions or guidelines for electronic document names. Moreover, it is not practical for users to browse through electronic files to find a document.

There are many advantages to standardizing the terminology used to name electronic documents. Standardized file names provide the capacity to:

Access files easily and rapidly.

Reduce redundancy of files.

Avoid loss of information.

Find the latest draft or the desired version of a document.

Name files quickly and easily.

Share files easily.

The filing and naming of electronic documents should be coordinated and compatible with the filing system used for paper records. Directories, sub-directories and file names should be based on established names given to record series and folders currently utilized for paper records, especially if the electronic records are related to the paper records.

Many office networks and most personal computer word processing provide the capacity to organize electronic documents into "folders" by using tree-structured directories, sub-directories, and files. This organizational method gives major groupings of files a directory name, and then sub-groupings of those main categories are given sub-directory names. Sub-directories can be created to organize documents by subject, by type of document, by originator, or by some other grouping.

If the office already has a well established filing system for its paper files, sub-directories can be established using categories that are similar to the major file classifications in the paper files. If no system is in place, careful consideration should be given to the development of convenient categories for filing and retrieval of electronic documents. If the office stores its non-permanent electronic records on disks, separate disks – equivalent to sub-directories – should be used to store different types of documents.

Naming files is important to enable users to find the records they need, regardless of the storage medium. Most office systems provide for structured file names consisting of the following elements: the document name (alphanumeric characters), a delimiter (usually a "."), and a file type extension (usually

three additional characters). As times and technologies change, so do the capabilities to assign a document name. Most DOS-based systems allow for up to eight alphanumeric characters to be used for naming directories, sub-directories, and files. Other newer software applications allow for longer, more descriptive file names up to 255 characters. However, it is not advisable to use such lengthy file naming conventions. Careful planning for the use of these system capabilities will greatly enhance the filing and retrieval capabilities of the system.

Generally, a combination of sub-directory and file naming conventions should capture the following information about each electronic document: date, subject, and type of document. The precise ordering of these pieces of information in sub-directories and file names will vary depending on the program needs and the types of documents maintained. If sub-directories were created for each user of the system, a basic profile of the document would be available from the file name.

Most personal computers and automated systems have automated clocks that allow the system to supply date and time "stamps" that indicate when documents were created and updated. If the clock is set and maintained accurately, the system directory provides data indicating when a document was created or updated so this information does not need to be included in the file names. Accurate date and time stamps will also help users identify the latest version of their documents.

For more information, agency staff should refer to *Manual M245.4, Policy for Personal Computers and Networks*, and related *Information Technology Bulletins* issued by the Office for Information Technology.

E-mail Retention.

Many E-mail messages have very short-term value and will not need to be kept for a long period of time. However, some E-mail messages may have long-term or even permanent value. *Manual 210.9, General Administrative Records Retention and Disposition Schedule for Records Common to Most Agencies,* includes a record series called "Transitory Messages" which are records of short-term interest that have no documentary or evidential value. According to *Manual 210.9,* "Transitory Messages" should be retained only as long as they have administrative value.

E-mail messages and attachments received or sent (incoming or outgoing) that meet the definition of records must be retained and disposed of in accordance with agency-specific and/or general retention and disposition schedules approved by the Executive Board. E-mail messages, in and of themselves, are not a single record series. Retention periods will vary depending upon the function and content of the individual message. E-mail messages and attachments that meet the definition of records must meet the retention requirements for the same type of record (record series) as listed on an approved records schedule. For example, if the E-mail message constitutes correspondence relating to a specific program activity, it would be retained for the same length of time as other records in that series.

According to *Management Directive 210.13*, E-mail messages and attachments that do not meet the definition of records and are not subject to litigation or other legal proceedings should be deleted immediately. Agencies should refer to *Management Directive 205.34, Standards for Employee and Other Authorized User Internet Use and Electronic Mail Communications* for guidance on the appropriate use of E-mail.

E-mail messages and attachments that meet the definition of records may be maintained on an electronic or manual record-keeping system as noted in *Management Directive 210.13, Section 7, Procedures.* Agency technical capabilities and the retention periods for particular record series are the best indicators of which storage medium to choose.

Agencies with computer systems capable of maintaining E-mail messages in an electronic format for the full retention period may copy them to an electronic recordkeeping system, i.e, a drive on the agency's network (see examples below).   For messages containing critical information, it is recommended the sender request a read receipt to capture and retain the receipt information.   The saved E-mail message must include metadata for the content, sender and recipient information, and the date and time of transmission and/or receipt.   The message should be deleted from the E-mail system.   Agencies may have certain mailbox size limitations that restrict the amount of content stored in the E-mail system.   In addition, agencies shall not rely on the Commonwealth Connect Exchange Server Back-up Procedure or any other E-mail server back-up procedure for records retention purposes as per *Information Technology Bulletin C.8, Commonwealth Connect E-mail Back-up Guidelines*.

Examples of Electronic Storage.

There are various methods of storing E-mail messages and attachments that meet the definition of records on a network drive.

    1.   The recommended option is to save the records to file folders created on the network drive.

    Advantages:

    ❖   Records can be retained with other file types relating to the same subject, such as word processing documents, spreadsheets, and databases.

    ❖   The user must review the E-mail message for content and intentionally move it to the file folders on the network drive.

    ❖   For long-term storage, messages can be saved as rich text (.rtf) or text (.txt) and does not require the native E-mail software for access.

    ❖   For short-term storage, the message can be saved as the native E-mail record (.msg).

    2.   One option is to create personal folders on the network drive (Microsoft Outlook Personal Folders or any specific storage area in other E-mail software packages that can be set up and designated for each user).   If you are unsure how to do this, contact your agency's E-mail systems administrator. When the personal folder is created, simply add new folders by subject as you would in a paper filing system.   When E-mail is received in your in-box, review the message.   If it is a record that must be retained, it can then be moved to the appropriate subject folder in the personal folder.

    Advantages:

    ❖   The message is accessed with the E-mail application.

    ❖   All functionality remains the same (can reply to it, forward it, flag for follow-up, etc.)

    ❖   The user must review the E-mail message for content and intentionally move it to the personal folder.

Disadvantages:

❖ Agency network administrators may discourage the creation of personal folders because of server size.

❖ Only E-mail messages and attachments may be saved in these personal folders.

❖ If E-mail messages and attachments need to be shared with others, they are stored in a folder accessible only to the creator of the folder.

Agencies that do not have the capability to maintain E-mail messages and attachments that meet the definition of records in electronic format for the full retention period must create a paper or microfilm copy. Again, the copies must include the content, sender and recipient information, as well as the date and time of transmission and/or receipt. The message may then be deleted from the E-mail system. There may be instances when, even if an agency has the capability of maintaining the E-mail messages in an electronic format, current agency needs may best be met by retaining the messages on paper or microfilm. Records custodians should be aware that federal court decisions in the case of *Armstrong v. the Executive Office of the President* have raised questions about the adequacy of using paper printouts of E-mail as the official record. The court ruled that in the particular situation involving E-mail created by White House staff on a particular type of system, the paper printout was not adequate for preserving E-mail records because fundamental pieces of information were omitted on the printout that were an integral part of the electronic records, such as the identity of the sender and/or recipient and the time of receipt. If a paper printout of E-mail is to be preserved as the official record, it is essential that procedures be implemented for routinely printing E-mail records, including all transmission and/or receipt data in the system, and filing the printouts in the appropriate files as part of the normal course of business.

Long-Term or Permanent Preservation of E-mail.

If the records are of sufficient vital importance or have long-term or permanent value according to the retention schedule, it is highly recommended they be stored in a human-readable format (paper or microfilm). Otherwise, agencies will be responsible for migrating E-mail records to ensure their accessibility for the entire length of the record's retention period.

Agencies should refer to *Management Directives 210.5, Records Management*; *210.13, The Retention and Disposition of Records Created on Electronic Mail (E-mail) Systems*; *210.10, Electronic Records Management*; *205.34, Standards for Employee and Other Authorized User Internet Use and Electronic Mail Communications*; and *Information Technology Bulletin C.8, Commonwealth Connect E-mail Back-up Guidelines.*

Inventorying and Scheduling Electronic Records.

According to *Management Directive 210.10,* agencies are responsible for inventorying and scheduling all electronic records. The process is the same as with paper or microfilm records. Much of the Records Scheduling and Analysis, Chapter 6, applies to scheduling electronic records.

The *General Records Schedule for Disposable Electronic Records* provides disposal authorization for certain electronic records and specified hardcopy (paper) or microfilm records that are integrally related to the electronic records. It applies to records routinely stored on magnetic media in central data

processing facilities, including those operated for agencies by contractors. It covers records created by computer programmers, operators, analysts, and systems administrators in order to store and maintain computer files; certain master files; and certain files created from master files for specific purposes.

The *General Administrative Records Retention and Disposition Schedule for Records Common to Most Agencies* establishes minimum retention periods and provides disposal authorization for certain records common to most agencies. It applies to records in all forms and formats.

Disposition.

As with paper records, when electronic records have met established retention periods in the agency, they reach the final disposition stage and are either transferred to the State Archives or destroyed. Care needs to be taken to ensure that all the records/systems have been inventoried and appraised according to *Management Directives 210.5* and *210.10*.

1. Electronic Records to be Sent to the State Archives. Since the State Archives does not currently have the hardware nor software necessary for processing and maintaining the variety of electronic formats used by state agencies, the Archives will require a copy of the electronic record to be saved in an ASCII delimited flat file with all related documentation, or as hard copy. Contact the State Archives when electronic records are ready for transfer.

2. Destruction of Electronic Records. Written procedures should be developed for purging records once established retention periods have been met. Depending on the volume of records and the staffing situation of the agency, purging of files can be done on a monthly, quarterly, semi-annual, or annual basis. For electronic records, procedures need to include purging of records generated or stored on agency systems by the information technology department.

Electronic records are usually stored on erasable, reusable, and relatively inexpensive media, which are easy to revise and update. For this reason, disposition methods for electronic records should be determined as early as possible. Agencies must comply with the policies and procedures relating to disposition methods and confidentiality issued by the Office for Information Technology in *Information Technology Bulletins* and *Official Enterprise Memoranda* as well as *Health Insurance Portability and Accountability Act (HIPAA).*

Specific precautions are required for confidential information because computer systems do not actually erase the file when files are "deleted." They simply remove the file name and pointers from the system directory. This allows the space occupied by the file to be declared available for a new file. The electronic records remain unchanged until that portion of the disk is reused. Consequently, "deleted" electronic record files may be recovered by using commercially available utility programs. Agencies must comply with hard drive and media cleansing of computer equipment issued by the Office for Information Technology in *Information Technology Bulletins (ITBs)* and *Official Enterprise Memoranda.*

CHAPTER 10

ELECTRONIC DOCUMENT MANAGEMENT SYSTEMS

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ELECTRONIC DOCUMENT MANAGEMENT SYSTEMS

Electronic Document Management Systems (EDMS) is a system that manages electronic documents varying from a scanned image to a word document; the EDMS includes imaging functionality. Imaging is the use of light to represent data as bits ("0"s and "1"s). The system utilizes a laser beam source, a light detector, support devices such as a scanner, and plexiglas disks coated with a recording alloy. The laser beam alters the disk by burning small holes or pits into the surface. Each alteration represents information stored as a binary code. Information is then retrieved from the disk by the light detector interpreting the presence or absence of light and translating the binary code.

EDMS should not be viewed as a tool to correct poor filing and records management practices. Imaging systems are similar to micrographics systems in that they need to be carefully planned and implemented to provide benefits to the agency. A poorly designed imaging system can render an agency's records useless, and severely impact service and decision-making capabilities.

This chapter explains the EDMS process and provides tips on choosing an appropriate system. *Management Directive 210.9, Electronic Imaging Systems Procedures Relating to the Management of Records,* covers the policy regarding the scheduling and disposition of records copied or stored on electronic media. The Division of Records Administration and Image Services (DRAIS) is available to answer any questions regarding the use of, procedures relating to, or legal requirements for, an EDMS. Agencies must also comply with applicable *Information Technology Bulletins (ITBs)* issued by the Office for Information Technology.

Definitions.   See Glossary, Appendix 2.

Types of Electronic Storage Media.

Compact Disk – Read Only Memory (CD-ROM) is a type of disk that is pre-mastered for the storage of digital data such as encyclopedias, reference works, and software. These disks can only be read and cannot be added to, erased, or changed.

Write Once Read Many (WORM) is a non-erasable read/write type of disk. The disks are purchased blank so that the user can record information on them. Once information is recorded on a disk, the information cannot be deleted or altered, but new information can be added until the disk is full. This is the most appropriate medium for office applications.

Compact Disk Recordable (CD-R) is a disk recording technology that allows end users to create and duplicate their own CDs. Most authoring software complies with international standards which makes this technology attractive for electronic publishing and distribution.

Compact Disk Rewritable (CD-RW) is similar to CD-R except that the disk can be reused.

Computer Output to Laser Disk (COLD) technology is similar to existing computer output to micro-film (COM) applications. This process records computer generated information onto an optical disk. This technology is increasingly viewed as a replacement for COM for the duplication and distribution of reports and other information within agencies.

Erasable Optical (EO) disk technology is still a relatively new technology needing further study before being applied to records management uses. In a sense, the erasable disk would be similar to floppy disks in that they could be used to store, modify, and erase temporary records. Current erasable disks incorporate a combination of magnetic and optical technologies to provide the ability to add and delete information. At this time, the lack of national standards and cost make this technology impractical.

How an Electronic Document Management System Works.

An EDMS is composed of hardware, software, and storage media components that work together to scan, view, store, and retrieve documents. The concept behind the use of the system can be broken into six steps:

1. Input of information into an imaging system begins with the creation or receipt of the documents. Once the information has been identified according to their appropriate record series, it can be captured by the imaging system. For paper documentation, they are prepared (unfolding, removing staples, repairing tears, etc.) and then scanned. Fax data can be sent directly to the imaging system, as well as output from computer systems.

2. Scanning produces a digitized image that is viewed on a high resolution video display monitor for quality control. An operator verifies each image against the original and may perform image enhancement or rescans the document as needed.

3. After the images have been quality controlled, the operator either verifies index information captured at time of entry into system or indexes each document by entering in one or more identifiers that will be used to retrieve the document. The index is stored in a database on the computer system's magnetic storage drive.

4. Following the quality control and indexing stages, the images are transmitted to storage, which may be an optical disk read/write drive where a laser records the image onto the optical storage media.

5. Once all the documents have been scanned, verified, and indexed, the original documents can be disposed of in accordance with the agency's records retention and disposition schedule.

6. When a document is needed for reference, the user can retrieve the document by locating it in the index database and requesting that record. A laser beam then reads the information on the optical disk(s) and displays the desired image on the monitor.

Legal Admissibility.

The Commonwealth views the EDMS in the same manner as other types of electronic records. To enhance the legal admissibility of records in electronic format, trustworthiness must be established by thoroughly documenting the information system's operation and the controls imposed upon it.

Management Directives 210.9, Electronic Imaging Systems Procedures Relating to the Management of Records, and *210.11, Acceptance of Imaged Documents,* issued by the Governor's Office, establishes policy for the use of imaged documents as acceptable business records. These directives establish procedures and requirements for recordkeeping with the EDMS.

Management Directive 210.9, Electronic Imaging Systems Procedures Relating to the Management of Records.

This directive was written to "establish and clarify state records management policy with respect to the scheduling and ultimate disposition of original records copied onto electronic imaging systems and to records stored on optical disks, to enable program managers to incorporate information retention and retrieval considerations at the earliest possible time in their plans to acquire optical imaging systems." Topics covered by the directive include:

- Management
- Preservation Strategy
- Migration Strategy
- Image File Headers
- Error Detection
- Indexing
- Input Quality Control
- Scanner Color Spectrum
- Image Input Quality

- Compression Techniques
- Open Systems
- Backward Compatibility
- File Formats
- Small Computer Systems Interface
- Location of Index Database
- Technical Documentation
- Media Handling, Backup and Storage
- Refreshment, Migration, and Conversion Plans

Records Retention Requirements.

Records relating to any aspect of an electronic imaging system may be disposed of only in accordance with approved retention and disposition schedules. All records relating to an EDMS, including input documents, additional paper or microfilm copies, and electronic copies, must be scheduled in compliance with *Management Directive 210.5, Records Management.*

The records retention requirement is a critical element in the planning of an EDMS. The length of the required retention period will determine the access, maintenance, and migration factors that must be considered when planning a system.

Non-Permanent Records. Normally, agencies will not have to make provisions to retain nonpermanent records copied onto an EDMS in a human-readable format. In some instances, it may be necessary to require the retention of a human-readable copy (paper or microfilm) due to the vital nature of the records or their relatively long retention period. If microform copies are made, they must be created and maintained in conformance with applicable Commonwealth standards.

Permanent Records. Agencies are responsible for making provisions for the continued retention of permanently valuable records in a human-readable format (paper or microform) even through they have been copied into an imaging system. Agencies must retain the original copy of a permanently valuable record or generate a security microfilm copy to serve as a substitute. Microform copies must be created and maintained in conformance with applicable Commonwealth standards.

Permanent Originals Created on Electronic Media. In those instances where the electronic image 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 or to create security microfilm copies of the records. The preferred strategy for ensuring the creation of a 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.

Feasibility Study.

Even more so than with a micrographics system, an agency considering storing records on an EDMS should carefully study the need for, and the benefits of, this technology. An agency must consider the value of the information and the advantages versus disadvantages of such a system. If applied appropriately, the system can transform the way an agency does business while dramatically improving productivity, effectiveness, and accountability.

Purchasing any electronic system constitutes a large ongoing financial commitment to hardware, software, training, media, and data conversion requirements. Reformatting information with electronic imaging technology is most cost-effective when working with a large quantity of records that are frequently retrieved. On the other hand, records which become inactive after a very short period of time may not be cost-effective candidates for imaging. Converting to, maintaining and using imaging technology may be justified if the costs (hardware, software, personnel, media) are less than the cost of maintaining the current system for creating and storing records. When planning a budget for converting data to an imaging system, an agency should remember that scanning is just one step of the procedure. Indexing, which is crucial for locating information stored on disks, on the other hand, takes three to five times longer than scanning and consumes around 30 percent of the budget.

When evaluating the need for imaging technology, another factor to consider is hardware and software obsolescence. The agency needs to take into account that disks created on one system may not be compatible with other systems. A second concern is that if the agency retains a system for several years, the vendor may no longer provide technical support, software upgrades, or replacement parts and supplies might not be available.

An electronic storage is not considered a permanent medium. The disk itself may last for hundreds of years due to its composition; however, this does not mean the information recorded on the disk will remain available. Studies estimate the life span of information stored on optical disks to be from 10-30 years, but only if the hardware and software are available to read the information from that disk. Therefore, at some point, agencies may have to transfer data from older storage mediums to new storage mediums to avoid incompatibility and/or technological obsolescence.

To determine the feasibility of using an imaging system, an agency should study and evaluate the following areas before implementing any system:

1. Work flow evaluation.

2. Retention and legal requirements.

3. Inventory of existing records.

4. Storage and retrieval needs of the agency.

5. Cost/Benefit analysis.

6. Alternative technologies comparison (paper and microform).

7. Compatibility with current and projected systems.

8. Projected growth.

9. User acceptance.

10. Total system migration costs for long-term and permanent records.

Procedures for the Selection and Use of Electronic Document Management Systems (EDMS).

EDMS require hardware, software, and storage media to scan, store, retrieve, and translate information. Because the storage medium itself is not permanent, the EDMS must be able to retain and retrieve information over time as hardware and software technology changes. Since national standards for EDMS are still being developed, PHMC has produced *Management Directive 210.9* to provide procedures for agencies to use when designing and purchasing a system. These procedures have been developed through currently accepted principles and practices and by using them, an agency should be able to have all of its records accessible over time and be in conformance with applicable state laws and directives.

To further ensure that the agency will get the best available system to meet its records management needs, when planning an EDMS, the agency needs to use *Management Directive 210.9* in conjunction with the most current national standards.

Current Electronic Document Management System Standards and Guidelines.

Listed below are some national industry standards that have been developed to enhance the use and acceptability of electronically imaged records. When considering the purchase of an electronic imaging system, the agency head, division managers, Information Technology Manager, and the Records Coordinator should review the most recent versions of these standards and incorporate them into any proposals and/or contracts.

Technical Guidelines.

- AIIM TR25 – *The Use of Optical Disks for Public Records.*

Quality Control and Error Monitoring Standards.

- ANSI/AIIM MS44 – *Recommended Practice for Quality Control of Image Scanners.*

- ANSI/AIIM MS59 – *Media Error Monitoring and Reporting Techniques for Verification of Stored Data on Optical Digital Data Disks.*

Image File Standards.

- ANSI/AIIM MS53 – *Recommended Practice*, *File Format for Storage and Exchange of Images; Bi-level Image File Format.*

I/O Interface Standards.

- ANSI X3.131 – *American National Standards for Information Systems, Small Computer Systems Interface (SCSI).*

- ANSI/AIIM MS61 – *Application Programming Interface (API) for Scanners in Document Imaging Systems.*

Digital Image Display and Output Standards.

- AIIM/TR19 – *Electronic Imaging Output/Display Devices.*

- AIIM/TR29 – *Electronic Imaging Output/Printers.*

Optical Character Recognition Standards.

- ISO 1073/1 – *Alphanumeric Character Sets for Optical Recognition, Part I: "Character Set of OCR-A Shapes and Dimensions of the Printed Image."*

- ISO 1073/2 – *Alphanumeric Character Sets for Optical Recognition, Part II: "Character Set OCR-B Shapes and Dimensions of the Printed Image."*

- ANSI X3.93M – *Optical Character Recognition Positioning.*

- ANSI X3.99 – *Guideline for Optical Character Recognition Print Quality.*

Compact Disc Standards and Industry Guides.

- ISO/IEC 9660 – *Information Processing – 120 mm (4.75 inch) Volume and File Structure of CD-ROM for Information Interchange.*

- Yellow Book – *A CD-ROM Color Book Drive Standard for compact disk read only memory (CD-ROM) drives.*

- Green Book – *A CD-ROM Color Book Drive Standard for compact disk interactive (CD-I) drives.*

- Orange Book – *A CD-ROM Color Book Drive Standard for magneto-disk (MO) and record-able (CD-R) drives.* This book describes a CD-ROM/MO hybrid device, and includes single-session and multi-session CD-R.

Organization acronyms.

AIIM   Association for Information and Image Management

ANSI   American National Standards Institute

IEC   International Electrotechnical Commission

ISO   International Standards Organization

CHAPTER 11

STATE RECORDS CENTER

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STATE RECORDS CENTER

The State Records Center is the official repository for semiactive or inactive records of state agencies which must be retained by the Commonwealth for operational, administrative, legal, or fiscal reasons. Generally, records are considered inactive if they are referred to no more than once per cubic foot per month. Use of the Center in accordance with agency-specific and general records schedules ensures the timely disposal of records when they have met their legal retention requirements.

The Center is a low-cost, high-density storage facility for inactive records that must be retained by agencies of the Commonwealth. The Center can accommodate 270,000 cubic feet of records or the equivalent of 810 million pages of paper. Jurisdiction of and access to records stored in the Center is controlled by the transferring agencies. While in the State Records Center, all information is considered confidential and access to the storage area is limited to Center employees.

Records storage at the Center is available to executive branch agencies that have an approved records management program in effect. To be eligible, an agency must have a Records Coordinator, an approved records retention and disposition schedule, and must submit all required forms.

The State Records Center is part of the Division of Records Administration and Image Services (DRAIS), Bureau of Archives and History, PHMC. The Center is located at 1825 Stanley Drive, Harrisburg and is open 8:00 a.m. through 5:00 p.m., Monday through Friday. Administrative services include records reference, retrieval, customized agency reports, and disposition.

Additional information on Records Center services is available by contacting the:

Records Center Supervisor .... (717) 783-2836
Agency Records .... (717) 787-2911
Fax number .... (717) 772-5279

The Transfer Form.

The required form for the transfer of records to the Center is STD-59, Records Transfer List. Please use the latest version of the records management forms available on the PHMC website (www.phmc.state.pa.us). Agency staff should complete all appropriate information, **except** the Records Center Box Number which will be completed by the Center staff. Form STD-59 can be used for the transfer of one or several record series at a time. Instructions are included in the Forms Section of this manual.

Records Transfers.

When records have reached their inactive or semiactive status according to the agency-specific or a general records retention schedule, it is time to transfer the record series to the State Records Center. Records which are transferred to the Center remain the property of the agency that created them and are made available only to pre-approved agency staff for reference and retrieval.

For records to be transferred to the Center, the following steps must be taken:

1. The records must be on either Executive Board approved agency-specific or general records retention and disposition schedules.

2. The agency Records Coordinator should verify that the records have fulfilled their retention period in the agency.

3. The records must be scheduled for a retention period of seven months or longer at the Center to be transferred there.

4. A Form STD-59, Records Transfer List, must be received by the Center at least one week prior to the shipment in order for the Center to adequately prepare for the transfer, assign personnel to the task, and to ready space for the items. The list should be sent to the Center electronically.

5. The agency Records Coordinator should contact Center staff to schedule a date for transferring the records. The agency may move records to the Center using their own staff, or may arrange to have DGS ship the records for them. Agencies need to submit a Form STD-560, Work Request, to have DGS move their records to the Center.

6. Records should be properly boxed and labeled. See "Preparing Records for Transfer."

Preparing Records For Transfer.

Records that are designated for the State Records Center must be packed within standard records center boxes, available through DGS. Each container is capable of housing one cubic foot of records. Records that are smaller in size than letter-sized documents are to be packed in a manner that permits rapid retrieval or reference. Oversized documents (such as drawings, tracings, or maps) should be placed in special containers. Records Center personnel will assist in preparing an agency's first shipment upon request and, at that time, will become familiar with the agency's filing system, assuring rapid retrieval of files if needed by the agency in the future.

These are some helpful tips to expedite the transfer:

1. When transferring the record series from filing equipment to records center boxes, keep the records in order, whether that is alphabetical, numerical, or chronological.

2. Pack only one record series in each box and, if possible, only one record year per box.

3. Pack only records and folders. Remove all binders, guides, and other dividers unless they are used to facilitate referencing of records.

4. Do not pack hanging files or 3-ring binders. Transfer records into folders with appropriate labels.

5. Pack letter-sized materials facing the front of the box and legal-sized materials facing sideways.

6. Leave a minimum of two inches of space in each box. This prevents damage to and allows for easier retrieval of records during referencing.

7. Do not lay records on top of folders.

8. If the records do not fill the carton, stuff the empty part of the box with crumpled paper or cardboard.

9. For information on boxing records that are protected by attorney-client priviledge and/or work product doctrine, contact the agency legal office and the State Records Center.

Finally, number the boxes consecutively as they are packed, using a black felt-tipped marker. Each box must show on the front, from left to right, the agency initials or number, records schedule item number, and agency box number. The agency box number may be consecutive for the entire shipment or for each series in the shipment. As an example, for three series in ten boxes, the boxes could be numbered 1-10, or numbered 1-3, 1-2 and 1-5, whatever is preferred by the agency. Also, the agency box number might begin using the next available box number from the last shipment to the Center. As an example, if the last box transferred to the Center was #190, the new shipment could begin with #191. Agencies should do whatever works best for their records management program.

Whenever a transfer of records to the State Records Center totals 200 or more boxes, the items are moved more easily if they are placed upon pallets. Boxes should be placed on pallets in numerical sequence. Some staging areas may be too small for the use of pallets, making other arrangements necessary.

Microfilm and Computer Tapes.

The State Records Center will accept microfilm copies of records provided they are listed on a retention schedule. Such transfers may be accomplished through the normal process. However, agencies are responsible for complying with the standards and procedures described in *Management Directive 210.8, Micrographics Procedures to be Used in Conjunction With Central Microfilm Management,* relating to the filming, processing, inspection, handling, and storage of microform copies of records.

Agencies should contact the Records Center for information regarding the storage of computer tapes and disks.

Transfer Verification.

It is the responsibility of the agency Records Coordinator to verify containers to determine if the contents agree with the information on the transfer list, that the items are correctly packed, and that the file arrangement and classification system permit immediate reference and retrieval. Upon arrival at the State Records Center, records are examined to ensure that they appear on an approved records retention schedule and that proper transfer forms have been completed and approved for processing. In the event of problems, the agency Records Coordinator will be contacted for clarification.

When the verification procedure is completed, the approved boxes will be numbered and moved into the storage area. Forms associated with the transfer are finalized at the Center and returned to the agency Records Coordinator. **These are important documents** because they identify and direct future reference activity at the State Records Center.

Interfiles.

Interfiles are records sent to the State Records Center to be filed in boxes already stored there. Agencies are responsible for determining and indicating the correct Records Center box number and schedule item number on the individual files. Name and return address of sender is required. The Center places the files in the appropriate box(es) after verifying the correctness of file/box data. There is no advance notice needed for interfiles. Due to staffing limitations, interfile service is not encouraged.

The Reference Form.

Form STD-61, Reference Request, should be completed when materials stored at the Center are needed for review.   Requests for records from more than one series may be made on the same STD-61. The most important information to include on this form is the Records Center box number, which can be found on the Records Transfer List.   Detailed instructions are included in the Forms Section of this manual.   Please use the latest version of the records management forms available on the PHMC website (www.phmc.state.pa.us).

Reference Services.

Each Records Coordinator is to maintain a list of persons who are authorized to have access to documents stored in the State Records Center.   If an individual's authorization is restricted to certain record series, the agency must designate the approved series numbers.

The Authorized Records Personnel List includes the names, addresses, and phone numbers of agency staff who are allowed access to reference or retrieve records from the Center.   Some individuals may be authorized to have total access, while others may be limited to specific record series.   The authorized personnel and their access privileges should be provided to the Center through the Records Coordinator.

As with regular business activity, the Center will only acknowledge requests for inactive records from those individuals whose names appear on the authorized list.   Agency Records Coordinators are to notify DRAIS, in writing, whenever names are to be added, amended, or deleted from the list.   **Requests for reference services from other than authorized personnel will be refused.**

When a record is needed by an agency, any one of the following procedures can be utilized:

1.   E-mail.   Form STD-61.XLS must be submitted from an authorized E-mail address.

2.   Mail.   Form STD-61, Reference Request, is completed and signed by the authorized person, then sent to the Center via mail.

3.   Telephone.   Only five retrievals a day may be requested by telephone at (717) 787-2911.   When calling, the requester must provide:

    a.   Agency name.

    b.   Requester's name.

    c.   Phone number.

    d.   Mailing address (if material is to be mailed).

    e.   Schedule item number.

    f.   Material requested.

    g.   Records Center box number (as on Form STD-59).

h. How material or information is to be provided:

    (1) Mail.

    (2) Phone.

    (3) Messenger pickup.

    (4) Visit of requester or other to the Center.

i. Will material be returned to the Center.

3. Fax. Send Form STD-61 directly to the Center via fax at 772-5279.

Requests for five or less retrievals in one day will be processed within 24 hours. Requests for six or more retrievals in one day will be handled on a first come, first serve basis.

Records may be referenced at the Center, retrieved by agency staff to take to their office, or sent to the agency via interoffice mail. If requested, Center personnel will notify the requester when the items will be ready. A reference work area with tables, telephone, photocopier, and other office supplies is available for use at the Center.

Records Withdrawal.

Agency records and personnel folders withdrawn from the Center on a temporary basis will each have a bar-coded label utilized to track the document by computer. The label must remain attached to the released documents or folders until they are returned to the Center. To better track withdrawals, the Center retains the last requester's name on file, making that person responsible for the released item.

Should it be decided that records withdrawn on a temporary basis have a continuing impact on business and must be retained in the agency, the agency must notify the Center. To change a temporary withdrawal to a permanent withdrawal, photocopy the bar-code label and send the copy to the Center with a note indicating the change. The Center needs to be aware of the change to update its Reference Database.

Disposal of Records.

During the months of April and October prior to the scheduled month of disposition, concurrence to dispose of records from the Center will be requested from all agencies through an *Agency Disposal Report*. Authorization for final disposition is to be signed by the agency Records Coordinator, dated, and returned to the Center as soon as possible. Changes to a disposal plan will be handled through the normal records action process. Upon receipt of the approved authorization, the records will be disposed of in the manner specified on the appropriate records retention and disposition schedule.

The Records Center staff takes care of the destruction of records stored at the Center. This service is offered free to participating agencies who use the storage facility. Currently, all records are recycled unless otherwise specified. Upon destruction or transfer of the records to the State Archives, the Center removes the items from its records index.

> **Note:** If records are needed for legal or audit purposes beyond the recommended retention period, check with the proper agency authority before destroying the records.

Over a period of time, some activities and programs are reorganized or discontinued. In some instances, these changes will affect records stored at the Center. Records Coordinators must keep the Center informed of organizational changes that have an impact on agency retention schedules and authorized personnel lists. For discontinued record series, once the Records Coordinator has submitted the appropriate paperwork and it has been approved, the Center will contact the agency for permission to destroy or other instructions on handling the records.

Customized Reports.

Upon request, the Center staff will generate the following basic customized reports to provide updated information about an agency's stored records:

1. Records Center Inventory Reports.

2. Agency Disposal Reports.

3. Agency authorized personnel listings.

4. Agency Retention Schedules.

5. Agency organization codes and names.

Handling Personnel Records.

An Official Personnel Folder (OPF), Form STD-301, is established for each new employee by the agency's personnel office. *Manual M505.4, Personnel Records Retention and Disposition Schedule,* identifies the OPF as Item Number P-79, and establishes the retention requirements. All transactions associated with the employee are retained within the folder. Upon the employee's separation from state service, the folder is purged of unnecessary papers as defined in *Management Directive 505.18, Maintenance, Access and Release of Employee Information,* and forwarded to the State Records Center. If there are pending grievances, appeals, or other formal actions, the file should remain in the agency until the problem is resolved.

To transfer OPFs to the Center, as with other records, a Form STD-59 must accompany each shipment. The employee's name, social security number, and year of birth are to be written or typed neatly on the folder's tab. Folders are not to be reused. Tape or labels are not permitted over folder tabs. Each agency should transfer its OPFs to the Center in accordance with *Management Directive 505.18.* As with interfiles, no advance notification is needed for the transfer.

The retention of inactive employee records at the State Records Center is in conformance with *Management Directive 505.18,* detailing how information on former employees is to be accessed and released from the storage facility, and as with other records, only authorized personnel can request or have access to a personnel folder.

CHAPTER 12

STATE ARCHIVES

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STATE ARCHIVES

One of the primary responsibilities of state government is to maintain and make available those records that safeguard the civic and property rights of its citizens and which preserve an accurate record of the performance of government agencies and public officials. Though state officials must create and maintain an adequate record of their decisions and actions while in government, it is the PHMC, acting in its capacity as the state archival authority, that is responsible for identifying and preserving those records that have permanent or continuing value. In conformance with the Administrative, History, and Judicial Codes and the County and Municipal Records Acts, the State Archives works to ensure the permanent preservation of records that document significant government functions, policies, and decisions and the information they contain on persons, places, and historical events.

The Pennsylvania State Archives was established in 1903 as an administrative unit of the State Library and was combined in 1945 with the State Museum and the Pennsylvania Historical Commission to form the Pennsylvania Historical and Museum Commission. The primary function of the State Archives is to acquire, preserve, and make available for study the permanently valuable public records of the Commonwealth, with particular attention given to the records of state government.

The Archives is housed in the Archives Building, located at the corner of Third and Forster Streets in Harrisburg. The complex includes staff offices and processing areas, a public reference room, and a 20-story records tower that is maintained at the proper temperature and humidity levels for the archival storage of records.

Purpose.

The Archives of Pennsylvania State Government are maintained to:

- Establish and protect the legal, financial, and other rights of the government.

- Protect the rights and interests of persons directly affected by an agency's activities.

- Permit policy and administrative continuity and consistency by providing perspectives on which to base planning.

- Document organizations, functions, programs, activities, policies, decisions, procedures, and essential transactions for practical and cultural purposes.

Archival Appraisal.

Appraisal is the process of determining the archival or historical value of records based upon their administrative, legal, and fiscal use; their evidential and informational values; their arrangement; and their relationship to other records. Under the Administrative and History Codes, the PHMC is responsible for identifying those government records, regardless of format, that have enduring value and preserving them for use by future generations. Appraisal is part of the Commonwealth's records management program.

Determining Archival Value.

Though government officials create and maintain records in order to transact official business, some of these records have **archival** value that extends beyond the original business purposes for which they were initially used. Records may be considered archival if they have some permanent administrative, fiscal, or legal value to state government or if they possess some secondary evidential or informational values beyond those for which they were created. The secondary values are defined as follows:

Evidential Value. Refers to the significance of the information a record provides about a government office and the function that produced it. It is the evidence of an agency's existence and achievements. Records that document significant government functions, policies, and decisions, such as minutes, annual reports, and administrative publications have evidential value.

Informational Value. Refers to the value records have if they can be used to document the persons, places, things, or matters dealt with by an agency in contrast to documenting the agency's organization, functions, and activities. Such records provide unique evidence about the lives and activities of people or socioeconomic communities. Examples include occupational licensing records, prison registers, and mine accident reports.

Examples of Records Having Archival Value.

Because of the wide variety of records created and accumulated by state government and the differences in each agency's organizations, functions, and recordkeeping systems, the following examples cannot include all of the records potentially eligible for permanent retention. The following examples illustrate the types of records that are normally identified for transfer to the State Archives.

> **Note:** If an agency maintains any of these records, regardless of format, it must make sure that the records have been properly scheduled and reviewed in conformance with *Management Directive 210.5.* Some records of archival value are listed in *Manual M210.9, General Administrative Records Retention and Disposition Schedule for Records Common to Most Agencies,* including minutes, executive correspondence and annual reports.

1. **Records on Organization and Functions.**

   a. **Organizational charts and reorganization studies.** Organizational charts are graphic illustrations providing a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies, conducted to design an efficient organizational framework to carry out the agency's programs, include materials such as final recommendations, proposals, and staff evaluations. These files may also contain administrative maps showing regional boundaries and headquarters of decentralized agencies, or the geographic extent or limits of an agency's programs and projects.

   b. **Functional statements.** These are formal prepared descriptions of the responsibilities assigned to agency officials at the division level and above.

2. **Formal Minutes of Boards and Commission Meetings and Agenda Packets.** These document substantive policy and procedural decisions, especially when a board or commission, rather than an individual appointee, gives an agency executive direction. Minutes may be verbatim transcriptions, edited summaries, and audio or video recordings. These are in *Manual M210.9* as an archival series.

3. Records of Internal Agency and Interagency Committees. Included are minutes, agenda, proposals submitted for review, and final recommendations of meetings of ad hoc and formal committees, and task forces and study groups attended by senior agency officials. Meetings may be limited to internal agency personnel or may include representatives from other agencies. The minutes may be summaries, verbatim transcripts, or audio or video recordings. Records selected for archival retention to document interagency meetings normally are those of the agency designated as the group's leader.

4. Legal Opinions and Comments on Legislation. These are memoranda prepared by an agency's legal counsel or program officials on interpretations of existing laws and regulations, or the effects of proposed laws and regulations governing the agency or having a direct effect on its operations. Records selected concern the agency's primary missions and normally exclude general opinions and comments relating to other departments. Included are formal comments on pending legislation prepared at the request of the General Assembly. Most of these records are designated archival if they were created in the offices of chief counsels of departments. Excluded are copies of bills, hearings, and statutes held for convenient reference.

5. Formal Directives, Procedural Issuances, and Operating Manuals Relating to Program Functions. Formal directives are distributed as orders, circulars, or manuals announcing major changes in the agency's policies and procedures. Normally, these are issued by authority of the agency's head. Extensive procedures are frequently detailed in operating manuals. The PHMC generally designates as archival those formal directives, procedural issuances, and operating manuals relating to program functions, but generally not those relating to routine administrative or housekeeping functions.

6. Selected Evaluations of Internal Operations. These are studies conducted to determine the effectiveness of the procedures adopted to achieve established policy goals. Audit case files are generally excluded. The studies may include evaluations of both program and administrative operations and may be made by the agency itself or by outside oversight agencies (Office of Administration). Only those studies recommending significant changes in policies and procedures merit preservation.

7. Analytical Research Studies and Periodic Reports. This category includes analytical research studies and periodic reports prepared by the agency, or by private organizations or individuals under contract to the agency or in receipt of a grant from the agency. Studies and reports selected for archival retention may be statistical or narrative. Regional reports prepared by field offices and forwarded to the agency's headquarters are frequently designated archival because they contain information on ethnic, social, economic, or other aspects of specific localities. Sometimes, only selected studies and reports are designated as archival. Excluded from selection are published studies and reports included elsewhere in the agency's record set of publications. Annual reports are in *Manual M210.9* as being archival.

8. Agency Histories and Selected Background Materials. This category consists mainly of narrative agency histories and histories of agency programs that may be generated during anniversary celebrations. Some background materials, such as interviews with past and present personnel, generated during the research stage, may also be selected for archival retention.

9. Briefing Materials. These consist of statistical and narrative reports and other summaries, including audiovisual materials, created to inform agency heads of the agency's current status or of major issues confronting the agency. They may be used to prepare for hearings, press conferences, or major addresses.

10. **Public Relations Records.**

      a. Speeches, addresses, and comments. These include remarks made at formal ceremonies and during interviews by department secretaries or deputy secretaries concerning agency programs and activities. They may be presented to other department heads, representatives of state and local governments, or private groups such as university students and members of business associations and cultural organizations, as well as news organizations.

      b. News releases. These consist of one copy of each prepared statement or announcement issued by the agency's public affairs office for distribution to the news media regarding such significant events as the adoption of new department programs, the termination of old programs, major shifts in policy, and changes in senior agency personnel. Excluded are news releases that provide only transitory or routine information.

11. **Selected Audiovisual and Graphic Records.** These consist of agency-originated motion pictures, still photographs, posters, brochures, audio and video recordings, cartographic materials, and architectural drawings created to record substantive events or information that cannot be or normally is not recorded in written form, along with related records needed to identify and facilitate the use of such records. Examples include instantaneous recordings or photographic coverage of significant scientific or technological phenomena and significant nonrecurring events, such as combat operations, natural and man-made disasters, extemporaneous occurrences, discussions, and interviews. Also included are maps recording topographic information for specific geographic areas as well as architectural or engineering drawings of significant state buildings and other structures.

12. **General Correspondence or Subject Files Documenting Substantive Agency Programs.** These files include correspondence with the Governor, members of the General Assembly, and legislative committees, other departments, and private organizations and individuals; internal agency memoranda; narrative and statistical reports; budget estimates and justifications; and other records documenting all of the agency's substantive program functions. **Whether in paper or electronic form, these records show the development of major policies and procedures and are often designated for archival retention when created at the following levels: Secretary, Deputy Secretary, Chair-persons, Commissioners, and Directors of Bureaus.** When the agency's important programs are not documented in correspondence maintained at these higher levels, the PHMC generally designates, as archival, similar records created at lower office levels. How many general correspondence files are selected as archival depends not only on their importance but also on the extent of their duplication at various office levels. Where substantial duplication exists, those created at the highest level should only be chosen. Where little or no duplication exists, those at more than one level may be chosen for archival retention. Agency Head Correspondence is listed in *Manual M210.9* as being archival.

13. **Selected Case Files.** Many records are maintained as case files, which are records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Sometimes called project or transaction files, they document particular agency activities from initiation to conclusion. Occasionally, the PHMC selects only a few individual case files because the case meets one or more of the following criteria:

      a. It establishes a precedent and results in a major policy or procedural change.

      b. It is involved in extensive litigation.

      c. It receives widespread attention from the news media.

These criteria indicate the exceptional nature of particular case files. Individual case files selected as archival under these criteria may include, but are not limited to, research grants awarded for studies; research and development projects; investigative, enforcement, and litigation case files; social service and welfare case files; labor relations case files; case files related to developing natural resources and preserving historic sites; and public works case files. Sometimes just the index to case files will be selected. The PHMC may also select those final reports and decisions drawn from case files but maintained separately.

14. Selected Social and Economic Microdata. These are unsummarized data collected for input into periodic and one-time studies and statistical reports including information filed to comply with government regulations. The information may be on such subjects as economic conditions, taxes, health care, demographic trends, education, discrimination, and other social science areas. It may also consist of data on natural resources including their use, condition, and ownership; emergency operations including civil strife; and political and judicial proceedings. Although agency reports and studies, briefing materials, and official releases often summarize these data, the unsummarized information, usually in the form of electronic records, may have archival value.

Transfer to the Archives.

A record series that has been appraised as having archival value (code 2 or 4—see Chapter 6, Records Analysis and Scheduling) should be transferred to the State Archives at the conclusion of its retention period. Such records will be transferred either directly from the agency or from the State Records Center. If the records will be sent from the agency, staff should complete an STD-66 with a box listing and contact DARMS to arrange for transfer. If the archival records are stored at the State Records Center, the Records Coordinator will receive an Agency Disposal Report twice a year listing records to be destroyed, returned to the agency, or transferred to the Archives. This authorization for final disposition must be signed and dated by the Records Coordinator and returned to the Center. Once authorization has been received, State Records Center staff will contact DARMS to arrange for the transfer of the archival records.

When the transfer has been completed, the records become the property of the PHMC on behalf of the Commonwealth, and they will be accessioned into the holdings of the State Archives. Unless designated as confidential, the records will be made available for research use by agency staff and the general public in the Archives Search Room.

The Archives is well aware that more and more agency records are available in both paper and electronic formats or in some cases, only electronic. Certain records, such as those that are created on electronic imaging systems, must be available in human-readable format (paper or microfilm) if they are permanent in the agency or considered historically valuable. Agencies will need to work with the State Archives on a preservation strategy for archival records in electronic form.

Archival Processing and Reference.

In order to make the records accessible, Archives staff members process them. This usually involves rehousing the records in acid-free folders and boxes; discarding duplicate materials, unused forms and other extraneous non-archival materials that are not part of the record series; and creating a listing. The records are also described by stating what function they served and what type of information they contain. The PHMC has extensive listings of processed records on its Website at www.phmc.state.pa.us. Questions relating to records that have been transferred to the Archives should be addressed to the reference staff at (717) 783-3281.

CHAPTER 13

VITAL RECORDS

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VITAL RECORDS

Vital records are considered to be any records, regardless of format or archival value, that are essential to functions of government during and after an emergency, and also those records that are essential to the protection of the rights and interests of that organization and of the individuals for whose rights and interests it has responsibility.   The protection and preservation of vital records are essential to the maintenance of government operations.   *Annex Z, Records Management*, of the Commonwealth Emergency Operations Plan, requires all state agencies to establish vital records disaster management teams and to develop vital records disaster plans to identify and protect their vital records.   When developing a plan, agencies should refer to *Manual M210.8 Vital Records Disaster Planning*, for assistance in identifying and protecting vital records, establishing a disaster response team, and determining potential hazards.   *Manual M210.8* was designed to help agencies fulfill some of the requirements in *Annex Z.*   DARMS staff can provide agencies with assistance and a template for a Vital Records Protection Plan.

The loss of vital records would adversely affect the agency's routine operation and jeopardize the public interest.   Private companies have closed permanently because of disasters; however, government agencies cannot.   They must be able to recover and resume normal operations.   Proper identification and protection of vital records constitute a critical first step to a speedy recovery and resumption of normal operations following a disaster.

The Importance of Vital Records.

The loss of vital records during a disaster could result in:

1. The disruption of essential public services.

2. Exposure to unplanned expenses of financial settlements or loss of revenue.

3. Increased vulnerability to litigation.

4. Loss of productivity due to gaps in information.

Identifying Vital Records.

Annex Z, Records Management, requires agencies to establish procedures to guarantee that vital records, whether in paper, microfilm, electronic, or other formats are protected.   Since they are the key to uninterrupted critical government services in both response and recovery phases, vital records must be available to government agencies during and following a disaster.

The first step an agency should take to identify its vital records is to review its agency-specific records retention and disposition schedule and any other applicable general records schedules.   The agency Records Coordinator should be able to provide the most recent copies of these schedules.   In addition, there may be records that do not appear on the schedules, and therefore these must also be examined for vital records status.   For this reason, a physical inspection should be made of all file areas.   **All records, regardless of media or format, should be evaluated for vital records status.**   If an agency discovers unscheduled records during this process or does not have a records schedule, it should contact DRAIS for assistance.

The nature of the organization determines what is essential for its operation.   While vital records are specific to each agency, a list of common types of vital records is offered later in this chapter.   Vital records generally fall into two categories:

1. Emergency Operating Records. Records which are needed immediately by fire and safety personnel during the actual emergency and those records which are needed by agency management and personnel assigned to disaster recovery efforts. Examples include: blueprints, floor plans, special fire hazard records including Material Safety Data Sheets and Hazardous Substance Survey Forms, utility records, emergency plans and directives, disaster response and recovery plans, orders of succession, delegations of authority, staffing assignments, vital records protection plans and inventories, disaster preparedness and response plans, employee phone lists, contracts including maintenance agreements, lists of alternate location sites, inventory of fixed assets, and plans covering automated technology, both hardware and software.

2. Rights and Interests Records. Records which are needed by agency staff to continue mandated operations and services during and after the actual emergency and in order to preserve the legal and financial rights and interests of the agency and the individuals directly affected by its activities. Examples include: forms used to provide services, insurance records, minutes, receipts and expenditure records, property and investment records, budgets, payroll and retirement records, articles of incorporation, current lists of clients, permits, and licensing records.

Once an agency has identified which records it considers vital, the next step is to prepare a vital records inventory. A sample form with instructions is included in *Manual M210.8,* but agencies are free to design their own inventory forms as long as they include the basic elements indicated on the sample: namely, record series title, schedule item number, location of records, type of format, and whether or not a security copy exists and where it is located. It is imperative that agencies keep their inventories updated as records are added to or deleted from the schedule, as vital records are moved from one location to another, or as changes occur in the designation of vital records. Paper copies of the inventories and updates should be maintained off-site as well as in the agency. Locations could include the homes of disaster team members, alternate emergency sites, and the Historical and Museum Commission's State Archives Building.

Common Vital Records.

As mentioned previously, vital records are specific to each agency depending on the nature of the organization. Following are some general categories of vital records:

Accounting
    Accounts Receivable
    Audits and Related Work Papers
    Bonds
    Budgets
    Check Registers
    General Ledgers
    Loans

Automation Records
    Documentation
    Master Files
    Processing Files
    Program Language

Engineering
    Designs, Drawings, Reports, and Specifications
    Equipment Inventories
    Laboratory Reports and Notebooks
    Project Files
    Quality Control Reports

Executive/Administrative
    Agreements, Contracts, Leases, and Licenses
    Annual Reports
    Board of Directors Minutes, Reports
    Case Files
    Deeds, Mortgages
    Hazardous Materials Forms
    Investigation Reports
    Litigation Claims
    Permits
    Policy and Procedure Manuals

Marketing
    Mailing Lists
    Plans and Strategies
    Price Lists
    Sales and Marketing Forecasts

Personnel
    Payroll Records
    Benefit/Pension/Insurance Plans
    Job Descriptions
    Tax Records and Forms

Protection of Vital Records.

After identifying and inventorying its vital records, an agency should examine ways in which they can best be protected. This involves determining the level of protection needed and then selecting the most effective and cost-efficient method. The two most common methods are:

1. Duplication and Dispersal. Vital records can be protected by distributing duplicate copies created in paper, microfilm, or electronic format to locations other than the agency's primary office space. Such dispersal may be either routine or planned. During the regular course of business, duplicates of vital records are often distributed to other field offices or agencies. If one of these duplicates is designated as the vital records security copy, it must be maintained in proper conditions for the same length of time as the primary copy. Only then will the information be protected.

Planned dispersal, on the other hand, involves the distribution of copies of vital records created specifically for protection purposes. Such copies should be sent to designated buildings or field offices and kept for the full retention period. Using the dispersal method of protection requires constant monitoring by the agency to ensure that the vital records security copy is updated on a routine basis. It is also essential that this copy be dispersed to a location that would not be affected by an area-wide disaster that could destroy the primary copy and yet be readily accessible if needed.

By utilizing the duplication and dispersal method of protection, in the event of an emergency, it is very unlikely that all copies of a particular vital record will be lost or destroyed simultaneously. One copy should survive and be accessible.

2. On-Site Storage. Vital records can be protected by storing them in fire resistant vaults, safes or file cabinets. The equipment should be used specifically for the record media it was designed to store. Such equipment is rated to the maximum number of hours of exposure to fire and maximum temperatures at which they will protect records. Agencies should use the ratings provided by the manufacturer to determine which equipment will best protect their vital records.

> **Note:** Magnetic tape, microfilm, disks and photographic records require special equipment ratings because of their susceptibility to high humidity levels.

Standards for media storage equipment are developed and published by the National Fire Protection Association (NFPA), American National Standards Institute (ANSI), and the Underwriters Laboratories (UL). These standards are developed by testing various records media to determine the temperature and humidity levels at which damage begins. Use these ideal and extreme storage parameters when choosing protective storage equipment for vital records:

	Paper	Microfilm (silver base)	Magnetic Media
Ideal conditions:			
Temperature (°F)	65-70°	64-69°	62-68°
Humidity	40-50%	20-30%	35-45%
Extreme storage levels:			
Temperature (°F)	350°	225°	120°
Humidity	85%	85%	80%

While on-site storage of vital records may seem to be the most simple and convenient method, the major disadvantage is the potential for total or near total destruction or contamination of a single facility in the event of a disaster. Therefore, on-site storage of vital records offers only minimum protection against the most common threats to records, namely, fire or water damage.

All file storage units that contain vital records should be appropriately marked with some type of label or other indicator. For records that are stored in containers such as records boxes, microfilm boxes, or disk packs, a label should be applied. The label should include:

1. Record series title.

2. Records schedule item number.

3. Department of origin.

4. Date transmitted.

5. Date of records.

6. Special handling instructions.

Handling Vital Electronic Records.

Electronic records pose special problems in regard to vital records protection because of the need to consider both hardware and software as well as systems documentation. Agencies should refer to applicable *Management Directives* and *Information Technology Bulletins,* such as the *I series: Security, Privacy and Business Continuity Planning*, relating to contingency planning and security. For additional information, agencies should contact the Office of Administration, Office for Information Technology regarding the protection of information technology-based resources including provisions for off-site storage.

CHAPTER 14

DISASTER PLANNING

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DISASTER PLANNING

As discussed in the previous chapter, accessibility to vital records is important for an agency to provide continuous service to the public. An often overlooked, yet critical, part of an effective records management program is the creation of a disaster preparedness and recovery plan. **Disaster preparedness** is a state of readiness to prevent or mitigate the destruction of records that may result from a calamity. Disaster Planning is the process whereby an agency achieves and maintains preparedness for disasters.

Development of an agency-specific disaster plan is a bit like insurance – an agency should have one; the plan takes time and money; and an agency hopes never to have to use it. An effective disaster plan outlines what response is needed to deal with an incident that affects any and all recorded information in an agency. The use of a disaster plan can protect valuable records, save time and money, and ensure the continued operation of an agency, whether the disaster is as small as a roof leak or as devastating as a major fire.

The information in the disaster plan needs to be shared with all staff. This can be accomplished by distributing copies to all staff, annually conducting disaster training, and incorporating disaster planning into new staff orientation. All employees need to be aware of what plans have been made, how to alert others in the event of an emergency, what supplies are on hand, and how to initiate the recovery plan.

The following guidelines are offered to assist an agency in the preparation of a disaster preparedness and recovery plan. The plan should be tailored to specifically address the agency's records needs and programs. Once the plan is complete, it should be reviewed with all staff members. To ensure the reliability of the plan, it should be tested, evaluated, and updated annually to reflect changes in personnel, policies, facilities, equipment, and records. Agencies should be aware that the Office of Information Technology issues *Information Technology Bulletins (ITBs)* to assist with electronic records disaster planning (business continuity). The Office of Homeland Security, Department of General Services, and the Pennsylvania Emergency Management Agency provide guidance for disaster planning. Check their websites for updated information.

The DARMS staff is available to help state agencies develop an appropriate disaster preparedness and recovery plan for their records, and can provide a template for such a plan. Additionally, when an agency is affected by a disaster that damages its records, DARMS staff should be notified to aid in the recovery process.

Disaster Response Team.

A disaster preparedness and recovery plan consists of three components: prevention, preparation, and response and recovery. The first step in completing the plan is to form a disaster response team to oversee and carry out the project. The disaster response team is a group of individuals that is responsible for:

1. Preparing the disaster response and recovery plan.

2. Ensuring that efforts are made to mitigate potential disasters.

3. Responding appropriately during a disaster to ensure human safety and the preservation and recovery of records.

4. Conducting a successful recovery operation to reestablish service.

The team should include the Records Coordinator and representatives from each division or bureau, facilities management, security, and information resources. The team members should be assigned separate roles to carry out the required functions to recover agency records. The team roles are:

1. **Disaster Response Team Coordinator.**

   • Oversees resumption of agency activities.

   • Coordinates recovery and salvage operation efforts.

   • Assists in surveying and assessing extent of damage.

   • Informs agency head of on-going operations.

   • Acts as liaison with state government emergency assistance agencies.

   • Provides staff training on proper handling of damaged materials.

   • Identifies and procures necessary supplies, equipment, and services.

2. **Team Leader.**

   • Supervises the work force including employees, temporary staff, and volunteers.

   • Assures adequate supplies for recovery and salvage operations.

   • Assists in training staff in the proper handling of damaged materials.

   • Assigns task priorities in recovery and salvage operations.

3. **Team Recorder.**

   • Maintains records of materials moved, packed, and/or shipped during the recovery operations.

   • Maintains written and photographic documentation of damage and recovery.

4. **Team Member.**

   • Assists in moving, packing, and salvaging records and equipment affected by the disaster.

Prevention.

While not all disasters can be prevented, proper planning can minimize the occurrence of disruptive situations. This can be done by taking the steps necessary to regularly inspect the facility and identify all potential hazards. Prevention typically involves improving awareness of security, fire, and water damage concerns.

1. **Security.** The most common threats agencies have to be aware of are theft and vandalism. The most effective way to protect the agency and its assets is to make staff aware of the need to be vigilant. Staff members need to be informed of proper policies and procedures so that they may spot any irregularities and report them promptly. A second aspect of security is to identify the most valuable records and equipment. This is partially done through the vital records program. Once these records are identified, the agency should make sure specific plans are in effect to ensure that these items receive proper attention and protection.

To minimize security breaches, it is important that staff members are aware of visitors, and that precautions are taken at all times. Simple precautions to protect the agency include:

a. Controlled entry of the public through designated doorways.

b. Visitor registration and use of a badge to indicate permission to enter work areas.

c. The use of employee identification badges.

d. Locking doors and windows.

e. Locking desks and cabinets.

f. Security alarms.

g. Passwords or locks for computers.

2. Fire.   One of the most destructive events that could affect an agency is a fire.   Most fires can be prevented if the proper precautions are taken.   Precautions that can make staff aware of fire hazards and appropriate prevention and fire fighting tools include:

a. Training staff to be familiar with the locations and use of fire extinguishers, hoses, and fire alarm pull stations.

b. Keeping fire doors to stairwells and corridors closed at all times, as this can effectively contain a fire.

c. Reporting maintenance problems, particularly electrical deficiencies, immediately to supervisors.

d. Making staff aware that curtains and furniture placed near heat radiators or things placed on heat radiators pose a potential fire hazard.

e. Not storing records on the top of filing equipment.

f. Keeping all aisles, passageways, and exit doors unobstructed for safe, rapid exit.

g. Keeping all areas free of excess combustibles and trash.   Good housekeeping is particularly important.

h. Storing combustibles, such as cleaning fluids, inks, and copier or microfilm developer and toners in safety metal cabinets.

i. Enforcing the "No Smoking" policy.

j. Not overloading electrical outlets.

k. Alerting staff responsible for daily routine closing time inspections to make sure that:

(1) electrical devices are turned off, e.g.; copiers, computers, and coffee machines.

(2) fire or smoke barrier doors to stairwells are closed.

(3) trash and other combustibles are in appropriate containers.

3. Water Damage. The most common disasters affecting office buildings generally are caused by water incidents. Water damage can result from leaking roofs, seepage, rainstorms, faulty drains and sewers, floods, breaks in water and steam pipes, construction operations, or as the direct result of fire response procedures. Implementing the following preventative measures within daily operations can reduce the risk of serious damage to the agency's information resources.

   a. Know the water hazards of the region, such as flooding history and the region's experience with electrical storms, snow, and other types of storms.

   b. Routinely perform building inspections.

   c. Inspect areas where the potential for water damage exists, especially during rainstorms or inclement weather.

   d. Check for low shelves and documents stored on the floor or close to it because these are vulnerable to any water incidents.

   e. NEVER store documents directly on the floor; have at least a five inch clearance.

   f. NEVER store documents under water pipes or HVAC systems.

   g. Know the location of emergency supplies.

Preparation.

   As a disaster can strike at any time, an agency must be prepared to respond quickly and effectively to the incident. The key to the preparation phase is the creation and implementation of a disaster plan. This is a written plan that will delineate the proper authorities and procedures during the recovery process. A well written plan will include the following components:

   1. Disaster Personnel Phone List. The phone list designates the staff members who are to be notified in case of disaster. Primarily, the list will show the Disaster Response Team and give their home and work numbers. The phone tree should also include the names and phone numbers for other emergency contacts such as facilities management, Capitol Police, Department of General Services, agency purchasing officer, DARMS staff, and risk management personnel.

   2. Emergency Procedures. Each agency should develop a list of standard procedures to be followed in case of an emergency such as fire, water damage, terrorism, vandalism, or severe weather. The procedures should provide for ensuring human safety, identifying the problem, protecting the resources, and notifying the proper personnel.

   3. Priorities List. A priorities list will delineate which resources should be protected and salvaged to allow the agency to restore functions with minimal disruption. The list will include the vital records, and any other resources that are important to reestablishing service, are unique in that they will be difficult or expensive to replace, or are heavily referenced items. Equipment and supplies should be given lower priorities as these materials can be replaced.

   4. Emergency Funding, Supplies, and Suppliers Information. Include the name and phone numbers of the agency purchasing officer or other persons who can authorize emergency purchases of supplies and equipment to respond to a disaster. Before a disaster even strikes, the agency should assemble a small number of first response supplies. A list of the suggested supplies is included later in this chapter. The names and phone numbers of vendors should also be included in the plan.

5. Salvage techniques. Depending on the agency's information resources, a description of proper salvage methods should be drawn up which includes a list of proper supplies and vendors. Refer to the Response and Recovery section below for further detail.

Response and Recovery.

The response and recovery phase is the period in which efforts are made to salvage and reconstruct the agency's damaged information resources in order to restore normal operations. If a disaster strikes when the building is occupied, **the first concern is always the safety of the staff and patrons inside.** Escape routes and evacuation procedures should be posted. When disasters occur at night, on a weekend or holiday, the Disaster Response Team will be called to the site. No recovery efforts should be made until the site is declared safe by fire or other safety officials.

When the Disaster Team is activated, the Disaster Plan needs to be followed to quickly begin the salvage phase. After the team is assembled, a **damage assessment** should be made and the recovery process outlined. An accurate assessment of the damage must be made before priorities or salvage operation plans are drawn up. Damage assessment will be made by the Disaster Response Coordinator and Team Leaders. The focus of the assessment is on damage incurred to the information resources. Damage to the resources should be appraised without handling materials whenever possible as further irreparable damage may occur. Document all noticeable damage by making extensive notes during the appraisal. Photographs should be taken to document the damage for insurance purposes. If the damage extends beyond a limited area, other state agency personnel will become part of the assessment process. Once the recovery process is determined and explained to the recovery personnel, salvage of the records can begin.

Since over 90 percent of all records related disasters involve water damage to materials and because mold will begin to develop within 48 hours, salvage work must begin quickly. Start with **controlling the environment.** The temperature and humidity should be kept as low as possible to reduce the risk of mold growth. Mold can begin to grow on wet materials within 48 hours if temperatures are above 70° F and relative humidity (RH) greater than 65 percent. Ideal conditions for a recovery operation are 65° F and 40 percent RH. Restore environmental control by replacing glass in windows or temporarily blocking broken windows with canvas. Pump out standing water to reduce the risk of injury to workers and further damage to records. Be aware that water may conceal submerged objects, shorted motors, broken live wires, documents, or other materials. To reduce the risk of electrocution, shut off electricity to areas affected by water damage.

To ensure the usability of records recovered from a disaster area, proper care must be taken to ensure that the documents are handled and dried appropriately. Included below are descriptions of various drying methods, along with some recommended methods for salvaging the various types of media commonly found in agencies.

1. Drying Methods. Presently there are five ways to dry wet records. The method chosen depends on several factors: the amount affected; condition, value, scarcity, or rarity of the material; the importance and frequency of use; time constraints; budget; and personnel. A combination of methods may be used. It is best to consult with a conservator experienced in disaster recovery before making decisions. Not all materials are affected in the same way by water. Much of the damage is permanent and, therefore, no procedures can return the damaged item to its original state.

   • **Air drying** is the oldest and most commonly used method for drying wet materials. It is a technique for drying damp or wet materials. Materials are spread out to expose as much surface area as possible, allowing circulating air to remove moisture through evaporation. Air drying should be performed only in a stable environment to inhibit the growth of mold. The ideal environment for air drying wet documents is 60-65° F and 35-40 percent RH.

• **Freeze drying** is a slow drying technique for damp and moderately wet materials. The freezer should be capable of rapidly achieving temperatures below -10°F to reduce distortion and facilitate drying.

• **Vacuum thermal drying** is the treatment of water-soaked materials by placing them in a chamber, creating a vacuum, and introducing warm, dry air. Temperatures remain above freezing through-out the process; even if the materials have previously been frozen, most of the ice becomes water before changing to vapor. Vacuum thermal drying often produces extreme distortion in books and is, therefore, not recommended for rare items.

• **Vacuum freeze drying** is the safest and most successful method, although it is also the most expensive. This treatment works by freezing water-soaked materials to prevent further damage, and subsequent drying under high vacuum with controlled applications of heat. The water goes directly from solid (ice) to vapor form without becoming liquid in a process called sublimation. Materials must be frozen when they are placed in a sublimation chamber. This type of chamber operates under high vacuum and high heat, turning the ice crystals on the frozen materials to water vapor. The vapor is then collected on a cold panel that has been chilled to at least -200° F, so it cannot go back on the materials. When materials are removed from the vacuum freeze chamber, they will be very dry and should acclimate for at least one month before they are opened to avoid cracking the spine and/or binding.

• **Dehumidification** is the newest method for archives but well established as an acceptable method for drying buildings. Large commercial dehumidifiers are brought directly into the facility and materials are dried where they are.

   2. Salvaging Wet Materials. When deciding how to dry wet materials, the type of media is critical in determining the proper salvage methods. Listed below are the established procedures to recover damaged records typically found within state agencies.

• **Paper (manuscripts, single sheets).** Paper can be air dried or freeze dried, depending on the quantity affected. When packing wet paper materials, do not try to separate single sheets but interleave the folders every two inches with freezer paper and then pack. Do not attempt to sponge off mold or dirt while wet. **Parchment and vellum should be separated from other documents and packed in crates or flat boxes. A conservator should be contacted immediately before beginning any recovery efforts.**

• **Coated Papers.** If left to dry, coated paper will form a solid block, which can rarely be separated. If the coated papers are damp and not blocking they can be air dried. If the coated papers are very wet or beginning to block, the safest thing to do is to freeze the documents until time permits proper recovery. At this time, it is believed that vacuum freeze drying is the best method for coated papers.

• **Maps, Plans and Oversize Manuscripts.** As maps and drawings are usually on paper, they can be either air or freeze dried. To salvage, begin by sponging water out of map drawers then remove drawers from cabinet. After the standing water is removed from each drawer, either move the entire drawer or transfer individual items to either the air drying location or to the freezer.

> **Note:** Most of the time, blueprints will become unrecoverable if they are very wet because the blue ink will seep through to other pages.

• **Microforms.**

   – Handle microform materials in their boxes or envelopes/jackets. If microforms do not have boxes or jackets, do not handle the area where images are printed. Handle by the edges only.

–   Do not try to separate, untangle, clean, or dry film.   Handle as little as possible.

–   Microfilm must not be allowed to dry out. It must be kept wet and transported for professional processing (drying) within 72 hours, or it must be frozen within 48 hours for later processing.

• **Photographic Materials.**   Photographic materials are more sensitive than other media and should be dealt with as quickly as possible; the time factor is especially critical since most water damage to photographic materials is permanent and cannot be reversed.   A conservator who specializes in photographic processes should be contacted immediately.   **Avoid** freezing photographs if at all possible.

• **Motion Pictures.** Open film can, fill it with clean water and replace lid.   Pack in plastic containers or cardboard box lined with garbage bags.   Arrange for a film processor to re-wash and dry within 72 hours.

• **Magnetic Media such as tapes (audio, video, computer) and disks.**   Water is especially damaging to magnetic materials.   The longer they have been wet, the greater the damage will be   The best procedure for salvaging magnetic media is to use backup copies to recreate the information.   Do not attempt to run any damaged tapes or disks since they could damage the equipment on which they are being run. If the tapes or disks must be salvaged, immediately contact a magnetic media recovery company and inquire what steps, if any, should be taken to stabilize the items prior to treatment.

> **Note: Do not attempt to use computers that have been wet. Computer hard drives can be salvaged by professional recovery organizations.**

Suggested Emergency Supplies and Their Uses.

The following are some items that should be readily available to use in the recovery of records after a disaster.   For information on suppliers, contact DARMS.

1. Boxes.   Corrugated cardboard boxes may be used for packing wet books and documents for freezing and for freeze drying.   Some freeze drying services prefer customers use cardboard boxes and some prefer milk crates.   Cardboard boxes are easier to obtain and store than milk crates.   "Self-folding" boxes have a reasonably sturdy double-walled construction and may be stored flat and assembled quickly when needed.   The best type is no larger than 12 x 15 x 10 inches.   A disadvantage of cardboard boxes is that they can become soggy and fall apart when loaded with wet materials, creating further damage and confusion.   Waxed or plastic-coated cartons are available and can help alleviate this problem.

2. Cotton Work Gloves.   Used by recovery team to move boxes and clean up the affected area. Should not be used to handle wet records as the cotton may tear the wet paper.

3. Disposable Camera.   Used to document damage to facilities and collections, as well as recovery operation.   Also helpful for insurance purposes.

4. Disposable Rubber Gloves.   Rubber gloves used for protection when handling wet materials. The smooth rubber will not stick to wet paper or scratch photographs.

5. Drying Space.   On-site and off-site areas where documents will be taken to be processed and dried. This area should have a controlled environment with temperatures of 65° F +/- 3° and a relative humidity of 40 percent +/- 5 percent.

6.   **Dust Masks/Half-Face Respirators.** While paper dust masks are better than nothing, and may filter some dust, if there is a threat of mold or contamination, experts should be consulted.   All necessary safety precautions must be instituted, and recovery personnel may have to wear respirators with HEPA (High Efficiency Particulate Apparatus) filters.

7.   **Extension Cords.** Heavy duty grounded cords of 50 feet or more in length.

8.   **First Aid Kits.**   Safety of personnel needs to be considered.   At least one first aid kit should be available, easily accessible and should contain enough supplies to accommodate 12 recovery personnel. Surgical gloves should be purchased separately if not included in the first aid kit.

9.   **Freezer Paper.**   Used to separate books that are being packed for freeze drying. Sheets of paper are placed around the book, leaving the edges of the text block exposed, to keep the wet covers from sticking together when the books are frozen.   Freezer paper is not suitable for interleaving, as it forms a moisture barrier and would impede the drying process.

10.   **Generators, Portable.**   Generators provide an emergency source of electric power for fans, lights, and dehumidifiers.   Many types are available, using different sources of fuel and producing different outputs of electricity.   When contacting a supplier, specify the purpose for which the generator will be used, such as lighting the stack area, and running fans and dehumidifiers.   The supplier can estimate what will be required.   Some vendors will provide on-site assistance in setting up the equipment.

11.   **Humidity Indicators.**   Inexpensive means of measuring humidity in an area following a disaster include humidity indicator cards or papers and psychrometers.   Humidity indicator cards or papers change color as the relative humidity of an area changes. Psychrometers are more expensive, but they are much more precise than indicator cards.   Both types of indicators are suitable for monitoring humidity in an affected area when expensive monitoring equipment is not available.

12.   **Labels and Waterproof Marking Pens.**   For labeling crates and boxes.

13.   **Material Handling Equipment.**   Material handling equipment such as pallets, various types of trucks and conveyors can be invaluable in a large-scale recovery effort, when large quantities of wet materials must be moved.

14.   **Milk Crates.**   Plastic milk crates are the best containers for transporting, freezing, and freeze drying wet books. (Some freeze drying companies prefer using cardboard boxes).   Plastic milk crates may be bought, borrowed, or provided by a freeze drying service.   Plastic crates do not absorb water; water drains out the sides and the bottoms of the crates easily.   They are sturdy enough to stack several crates high (boxes tend to be crushed by the weight of the boxes above them).   Plastic crates are designed with carrying handles on all four sides, and are available in two standard sizes, neither one of which can be packed with enough documents to make it immovable.

15.   **Newsprint (unprinted) and Blotter Paper.**   Newsprint is helpful in an air drying operation.   It is an inexpensive and absorbent material for covering drying tables and for interleaving wet books.   Unprinted newsprint may be obtained in rolls or in large sheets, and is often sold by weight.   Valuable time can be saved if some paper is already cut into appropriate sizes for interleaving, thus avoiding a cutting operation while also trying to deal with masses of materials.   When newsprint or any other material used to absorb water has served its purpose, it must be removed from the drying area in order to help reduce the amount of moisture in the room.   Blotter paper, which comes in various thicknesses, is expensive but may be used when drying is nearing completion.

16.   **Pallets.**   Wooden platforms to which large quantities of wet materials are strapped and moved to a cold storage facility or freeze drying company safely and more efficiently.

17.   Paper Towels.   Use to dry shelves, clean small messes, cover surfaces used for drying, and interleave books being air dried.   Dispose of wet paper towels promptly.   When used for interleaving, use only white or off-white towels that have no dyes.

18.   Plastic Bags.   Useful for isolating moldy materials or keeping loose parts together.   Do not use for wet items unless freezing immediately.

19.   Plastic Sheeting.   Flexible plastic sheeting is an essential part of the salvage kit.   It is the best protection for archival stacks, computer terminals, microform readers, and card catalogs to prevent water damage from fire hoses, leaking pipes, and automatic fire suppression systems during or following a disaster.   Pre-cut some plastic to suitable sizes for terminals and priority collections.   Refold and label the plastic so that it can be taken immediately to the appropriate area.   The faster a section of shelves can be covered, the fewer boxes will get wet.   Most vendors stock 4 and 6 mil thickness (a mil equals 1/1000 of an inch).   Sheeting less than 4 mil may not be strong enough to remain intact during the salvage operation.   Sheeting thicker than 6 mil will be less likely to tear, but may be too heavy for one or two people to handle and will be more expensive.   Sheeting may be either clear or black, but clear is ideal because it allows staff to see materials under the plastic.

20.   Polyester Clothes Line.   Thin polyester line used for hanging pamphlets and small damp books during an air drying operation.   May need clips or clothespins to attach papers to line.   Place blotting paper between document and clip to avoid damage.

21.   Polyester Film Sheets – Archival Quality.   Used to pickup and support wet paper files and documents that are to be air dried.   Do not freeze documents supported by polyester film.

22.   Rubber Boots.   Used by recovery personnel when working in flooded, muddy or wet areas.

23.   Sump Pumps.   Sump pumps are used to remove standing water of any depth from a building. There are various types of pumps with different water handling capacities.   The supplier should be able to help choose the proper equipment when given an estimate of the amount of water involved and its location.   Some vendors will also provide on-site assistance, though this tends to be expensive.

24.   Tape.   Used for sealing cardboard boxes and keeping plastic sheeting in place, not to be used directly on documents.   Plastic carton sealing tape generally holds up better in wet conditions.   Duct tape holds up well in wet conditions.

25.   Trash Cans, Plastic.   Useful for removing wet interleaving papers or debris from an air drying operation.   Plastic garbage cans (5 gallon maximum) can also be filled with cold water to temporarily immerse damaged microfilm, movie film, and negatives until they can be processed.   Always line with a plastic garbage bag to keep can clean and place label on can identifying contents.

26.   Utility Knives With Retractable Blades.   Used for cutting plastic sheeting or cardboard boxes. Faster and more efficient than scissors.

27.   Wash Tubs (1-3 gallons).   When filled with clean, cold water, can be used to rinse muddy documents or to immerse damaged microfilm, movie film, and negatives until they can be processed.

28.   Waxed Paper.   Used to separate folders or books that are packed for freeze drying, to prevent the covers sticking together.   Like freezer paper, it is to be placed loosely around the books, leaving the edges of the text blocks exposed.   Waxed paper may also be used for interleaving between pages of coated paper being air dried. Coated paper will not stick to waxed paper as it will to paper towels, newsprint, and possibly freezer paper.

29.   Weights.   Paperweights can be used to hold down and flatten out wet materials while drying. Place some sort of barrier between the paperweight and the material being dried so the paperweight is not resting directly on the document.

30.   Wet/Dry Vacuums.   Used to pick up small amounts of accumulated water and other debris.

APPENDIX 1

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GLOSSARY

Active Records.   Those records which are used to conduct current operations.

Administrative Records.   Records relating to budget, personnel, supply, and similar housekeeping, or facilitative functions common to most agencies, in contrast to program records.

Administrative Value.   Records having value because they are essential to conducting an agency's business.

Algorithm.   A formula used by a computer to solve a problem.

Analysis.   The process of determining the value and thus the disposition of records based upon their current administrative, fiscal and legal use, and relationship to other records.

Application. A program or group of programs that supports an agency's function.   Examples include a licensing program, a billing tracking system or a case management database.

Appraisal.   The overall process of determining the archival or historical value of records.

Archival or Historical Value.   Records may be considered "archival" if they have some permanent administrative, fiscal or legal value to state government or if they possess some secondary value beyond those for which they were created.

Archives.

   1.   The agency responsible for selecting, preserving, and making available for use archival materials.

   2.   The building in which an archival institution is located.

   3.   The noncurrent records of an organization or institution selected for permanent preservation because of their continuing value.

Attorney-Client Privilege.   A legal privilege which protects from review or disclosure confidential communications between a client and his or her attorney.

Attorney Work Product Doctrine.   The doctrine which protects from review or disclosure materials prepared by an attorney in anticipation of litigation, including private memoranda, written statements of witnesses, and mental impressions of personal recollections prepared or formed by an attorney in anticipation of litigation or for trial.

Binary.   A method of processing information in electronic systems.   Computers are based on the binary numbering system using two unique characters: zero and one.

Bit.   Abbreviation for binary digit.   The smallest unit of digital information, either the digit 0 or 1.

Bitmap.   A representation, consisting of rows and columns of dots, of a graphics image in computer memory.

Byte.   A unit of digital data consisting of eight bits. The representation of a character.

Case File.   Records, regardless of media, documenting a specific action, event, person, place, project, or other matter.   Includes personnel, project, and transaction files, which are types of case files.

Codebook.   A guidebook identifying and explaining the codes used in a computer file or database.

Commonwealth Connect.   The enterprise-wide project to implement a network that provides a consistent, reliable, and secure platform for communication, collaboration and desktop computing for all executive branch agencies (excluding independently elected offices) that are covered by the Microsoft Enterprise Agreement.

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

Cubic Foot.   The basic measurement of records volume, which is the volume of paper records that can fill a space one foot high by one foot wide by one foot long.   The standard records center box is 15" x 12" x 10."

Data.   A representation of facts, concepts, or instructions, in a formalized manner suitable for Communication, interpretation, or processing by manual or automated means.

Database.   A set of data, consisting of at 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.

Disaster Plan.   Written document that outlines roles and responsibilities whereby an agency achieves and maintains preparedness for disasters.

Disaster Preparedness.   State of readiness to prevent or mitigate the destruction of records that may result from a disaster.

Disposition.   The changing of custody, location, or existence of records including transfer to a records center or storage area, transfer to the State Archives, or destruction.

Documentation.   Information required to plan, develop, operate, maintain, and use electronic records and software.   Included are system specifications, file specifications, data dictionaries, record layouts, system diagrams, user guides, and input and output specifications.

Dots Per Inch (dpi).   A method of measuring the resolution of a scanning device, display, or printer.

Electronic Record.   A record created, generated, sent, communicated, received, or stored by electronic means.

Electronic Records System.   Information system that produces, manipulates, and/or stores records of an agency's transactions.

Evidential Value.   Refers to the significance of the information a record provides about a government office and the function that produced it.   It is the evidence of an agency's existence and achievements. Records that document significant government functions, policies, and decisions have evidential value.

Executive Order.   An issuance of the Governor, as prescribed in *4 Pa. Code 1.2* (Directives Management System), based on either constitutional or statutory authority.

File.   A file is commonly a paper or a folder of papers.   The term is also used to denote papers, photographs, photographic copies, maps, machine readable data, and other recorded information, regardless of physical form or characteristics.

File Cut-off.   A file cut-off is a recordkeeping technique used by management professionals to separate the inactive records from those used in day to day operations.

Files (Electronic Records).   A collection of data or information that has a name; i.e., data files, text files, program files.

Final Disposition.   Refers to the destruction of non-permanent records or transfer of permanent records to the State Archives as mandated by the appropriate retention and disposition schedules.

Finding Aids.   Indexes or other lists, whether manual or automated, that are designed to make it easier to locate relevant files or retrieve information.

Fiscal Value.   Records have fiscal value if they pertain to the receipt, transfer, and expenditure of government funds.

Forms.   A form is any document printed or otherwise reproduced with blank spaces for filling in required or requested information.

General Schedules.   An Executive Board approved schedule governing the disposition of specific records common to several or all state agencies.

Hardware.   A computer's physical equipment, including the disks, disk drives, boards, chips (central processing units (CPU) and memory), input/output devices, storage devices, and display devices.

Historical Value.   See Archival Value.

I/O Bus.   Input/output bus is a collection of wires through which information is transmitted.   Buses are two-part: An address bus, which transfers information about where the data should go, and the data bus which transfers the actual data.

Image Enhancement.   The process of cleaning up a digital image using algorithms to improve legibility.

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 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.

Inactive Records.   Those records that are not needed to conduct current business, but which must be kept for administrative, fiscal, legal, or other governmental purposes.   Generally records are considered inactive when they have a reference rate of less than one search per file drawer or cubic foot per month.

Informational Value.   Refers to the value records derive from the information they contain on persons, places, and historical events.

Input.   Variety of entries into a computer for processing; from commands you enter from the keyboard to data from another computer or device.

Interfiles.   Interfiles are records sent to the State Records Center to be filed in boxes already stored there.

Intrinsic Value.   In archives administration, the value of those permanent records that should be preserved in their original form rather than copies.

Inventory.   The records inventory is a survey of all agency records, and is used primarily to develop a records schedule and to identify records management problems.

Laser. A device emitting a highly coherent beam of light for burning information onto disks. Using less power, a laser can "read" information from a disk.

Legal Value. Records have legal value if they contain evidence of legally enforceable rights or obligations, both those of the Commonwealth and those of persons directly affected by an agency's activities.

Life Cycle of Records. See Record Life Cycle.

Long-Term Records. Records that need to be maintained for more than 10 years.

Mainframe. A large computer, normally able to process and store vast amounts of information, and often serves as the center of a system with many users.

Management Directive. An issuance of the Governor's Office or an agency head, as prescribed in *4 Pa. Code 1.2*, based on constitutional authority of the Governor or statutory authority of an agency. The Commonwealth Court has held that *Management Directives* have the force of law when they are based upon authority or duty conferred by constitution, statute, or regulation.

Master Files. Relatively long-lived computer files containing an organized and consistent set of complete and accurate data.

Medium. The physical form of recorded information such as paper, film, disk, magnetic tape, and other materials on which information can be recorded.

Metadata. Data about data. Metadata describes how, when and by whom a particular set of data was collected, and how the data is formatted.

Microfiche. A card-sized transparent sheet of film with miniaturized images arranged in a grid pattern. Sometimes abbreviated as fiche.

Microfilm. Fine grain, high-resolution film containing micro-images.

Microform. A generic term for photographic information storage media containing miniaturized images, including both roll film and microfiche.

Micrographics. Refers to the techniques associated with the production and handling of microfilm, microfiche, and related storage technologies based on retaining a photographic representation on film.

Minicomputer. A small digital computer, normally able to store and process less data than a mainframe, but more than a personal computer.

Non-Records. Materials that do not meet the definition of a record and are not subject to litigation or other legal proceedings. These materials relate to non-government business or activities and may include announcements of community events and retirements parties. Non-records may also include publications such as trade journals, pamphlets, and reference materials received from outside organizations, conferences, and workshops.

Optical Character Recognition (OCR). Branch of computer science that involves reading text from paper and translating the images into a form the computer can manipulate (i.e. ASCII) OCR systems include an optical scanner for reading text and sophisticated software for analyzing images.

Optical Disk. A disk coated with a recording alloy into which binary information is burned with a laser. Types of optical disks include WORM (write once read many), CD-ROM (compact disk-read only memory), and erasable optical disks.

Output.   Anything that comes out of a computer.   Output can be meaningful information generated by a computer and transmitted from either internal to external units of a computer, gibberish, or to an outside medium such as paper, microform, or electronic storage medium.

Peripheral.   Any external or internal device that is not part of the essential computer, for example, a printer, mouse, keyboard, scanner, CD-ROM, etc.

Permanent Records.   Records scheduled for permanent retention by the creating/administering agency or appraised by the PHMC as having sufficient historical or other value to warrant continued preservation by the Commonwealth.

Personal Computer.   Small computer designed for individual use where the entire CPU is put on one chip.

Program Records.   Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

Record Life Cycle.   The management concept that records pass through four stages: creation, active use, inactive use, and disposition.

Record Series.   A group of records that may be treated as a unit for purposes of classification, designation, description, management or disposition because they relate to a particular subject or function, result from the same activity, have a particular physical form, or because of some other relationship arising out of their creation, receipt, or use.

Record Series Description.   A written narrative explaining a record series' purpose and authority for existence.   All related forms, reports, and transactions are identified.

Records.   Any recorded information, regardless of physical form or characteristics, that documents a transaction or activity of an administrative department, board, or commission and that is created, received, or retained by such administrative department, board, or commission pursuant to law or in connection with the transaction of official business.   In database management systems, "records" are a complete set of information   Records are composed of fields, each of which contains one item of information.   A set of records constitutes a file.   In relational database management systems, records are called tables.

Records Coordinators.   Individuals appointed by agency heads who are responsible for managing and coordinating agency records management activities.

Records Inventory.   See Inventory.

Records Management.   The systematic control of recorded information from the time information is created until its ultimate disposition.   Because information is handled in various formats and media, records management encompasses magnetic tapes and disks, optical disks, photographs, microfilm, maps, motion picture films, videotapes, and audiotapes, as well as paper records and any other type of recorded information.   Records management is concerned with the creation, distribution, use, retention, storage, retrieval, protection, preservation, and final disposition of records.

Records Retention Schedule.   A comprehensive statement approved by the Executive Board showing retention periods and all actions to be taken with respect to disposition of records.   The schedule lists record series, indicates length of time each series is to be maintained in a prescribed format, and the location where the records are to be stored.   There are two types of records schedules used by state agencies to control records, the general and agency-specific.

Reference Copy.   A copy of an official record that is used for reference purposes.   Also known as a working copy.

Retention Period.   The length of time that records need to be kept before final disposition.

Sampling.   A technique used for the retention of part of a body of similar records to serve as a representation of the whole body.

Scanner.   A device that can read text or illustrations printed on paper and translate the information into a form the computer can use.   By digitizing an image, the resulting matrix of bits (bitmap) uses a narrow beam of light to resolve a document into a stream of bits.

Secondary Value.   A historical value other than the administrative, legal, or fiscal value the record was originally used for.   The two secondary values are evidential and informational.

Semi-Active Records.   See Inactive Records.

Series or Item Number.   A unique number assigned by the agency to designate record series when creating or revising a records retention schedule.

Small Computer Systems Interface (SCSI).   The SCSI is the interface used for faster data transmission rates than standard serial or parallel ports.   In addition, many devices can be attached to a single SCSI port, so that it is really an I/O bus rather than simply an interface.

Software.   Computer instructions or data.   Anything that can be stored electronically.

- **Application Software.**   Programs that do the work for users, i.e., word processors, spreadsheets, and database management systems.

- **System Software.**   Includes the operating system and all utilities that enable the computer to function.

State Records Center.   The official repository for semi-active or inactive records of state agencies which must be retained by the Commonwealth for operational, administrative, legal, or fiscal reasons pending their disposal or transfer to the State Archives.

System Documentation.   Records required to plan, develop, operate, maintain, and use electronic records and software.   Included are systems specifications, file specifications, codebooks, record layouts, user guides, and output specifications.

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

APPENDIX 3

INSTRUCTIONS FOR COMPLETING FORMS

Table of Contents

INSTRUCTIONS FOR COMPLETING STD-56
RECORDS RETENTION SCHEDULE ADDITION OR AMENDMENT

This form must be completed in conjunction with *Management Directive 210.5* when adding, amending, and/or deleting record series from an existing agency records schedule or to create a new agency records schedule.

> **Whenever adding, amending, or deleting a records series, Form STD-56 must always be accompanied by Form STD-58, Request for Records Action. When adding a new record series, Form STD-57, Records Inventory and Analysis, must also be completed.**

(**1**) **Agency (Include Bureau, Division or other Major Unit):** Self-explanatory.

(**2**) **Date:** Self-explanatory.

(**3**) **Schedule Record Series Number:** Fill in the record series number that you wish to add, amend, or delete. Use consecutive numbers when adding new items. For information on numbering, please contact the agency Records Coordinator.

(**4**) **Record Series Title and Description:** Be as specific as possible. If the records are maintained by the agency legal office, indicate if they are covered by attorney-client privilege and/or work product doctrine. Also note any confidentiality requirements, including length of time records must be restricted.

(**5**) **Format:** If the record series is not maintained in paper format, choose a format code from the following list. If the record series is in paper format, leave this section blank.

      A for Microfilm
      B for Machine Readable
      C for Audio/Visual
      D for Cartographic
      E for Photographic

(**6**) **Vital Record:** List "y" for yes. Please refer to *Management Directive 210.5,* and *Manual M210.8* for definition.

(**7**) **Retention Periods at the Agency and at the State Records Center:**

    Retention at the State Records Center: Fill in the appropriate time periods, in years and months, that the agency needs to keep the series at the State Records Center.

> **If the retention period for the record series in question does not readily fit into years and months, place an asterisk (*) in the column under retention and explain the asterisk in the description area under the Record Series Title and Description.**

(8) **Disposal Codes.** The following codes are to be assigned by the agency:

1 – **No special handling.** This means that no special precautions will take place upon disposal.

3 – **Shred.** This category is usually selected for the destruction of confidential records. At this time, the State Records Center does not provide shredding services.

5 – **Return to Agency.** This means that the records must be returned to the agency at the conclusion of the retention period at the Center.

6 – **Delete.** This is for electronic records. When records have met their retention period, they may be deleted.

(9) **Archival Codes:** These codes can only be assigned by PHMC staff. Leave this column blank.

2 – **Review.** An Archivist assigns a Code 2 when a preliminary review by the Archivist or the description on the Form STD-57 is such that it appears the record series may have archival or historical value. A Code 2 supersedes any disposal code assigned by an agency. This means that the records assigned a code 2 **cannot** be destroyed without written permission from the State Archives. Upon completion of the retention period in the agency and/or the Records Center, the record series will be reviewed further by the State Archives. Following the review, the State Archives may decide to take the entire series or parts of it or may allow disposal of the entire series.

4 – **Retain.** An Archivist assigns a Code 4 to a series when the records have been reviewed and appraised to have sufficient archival or historical value to warrant their preservation at the State Archives. A Code 4 assigned by an Archivist supersedes any disposal code assigned by an agency. Upon completion of the retention period in the agency and/or the Records Center, the record series is transferred to the State Archives.

RECORDS RETENTION SCHEDULE
ADDITION OR AMENDMENT

DEPARTMENT CODE	FORMAT CODES	DISPOSAL CODES	HMC USE ONLY

HMC USE ONLY

ARCHIVE CODES

FORMAT CODES
A - MICROFILM
B - ELECTRONIC
C - AUDIOVISUAL
D - CARTOGRAPHIC
F - PHOTOGRAPHIC

DISPOSAL CODES
1 - NO SPECIAL HANDLING
3 - SHRED
5 - RETURN TO AGENCY
6 - DELETE

OFFICE OR BUREAU CODE

2-Review
4-Retain

① ①

VITAL RECORD Y = YES

AGENCY (INCLUDE BUREAU, DIVISION OR OTHER MAJOR UNIT) ① DATE ②

RETENTION ⑦

SCHEDULE RECORD SERIES NO.	RECORD SERIES TITLE AND DESCRIPTION ④	FORMAT	AGENCY		RECORDS CENTER		DISPOSAL CODE	ARCHIVE CODE
			YEARS	MOS	YEARS	MOS		

③ ⑤ ⑥ ⑧ ⑨

INSTRUCTIONS FOR COMPLETING FORM STD-57,
RECORDS INVENTORY AND ANALYSIS

This form must be completed when a new record series is added to an existing agency records retention schedule.

> **This form should be completed in conjunction with *Management Directive 210.5*.**

(1) Department, Bureau, Division, Section: Self-explanatory.

(2) Person to Contact and Telephone Number: This person should be knowledgeable about the records and the action being requested.

(3) Date of Inventory: Self-explanatory.

(4) Location of Records: Self-explanatory.

(5) Type of Space:

Office. Any area used primarily by personnel conducting current office operations. Consider as office space any area now used for records storage, but originally planned for office use.

Storage. Any area not defined as office space.

(6) Record Series Title: The series title should be descriptive and as specific as possible. It should clearly identify the record series. To avoid confusion, the use of the term "miscellaneous," as well as abbreviations are not acceptable. The title should be derived from one of the following:

– Normal agency title (must be comprehensible to people outside the agency).

– Title of a single form or type of document common to the entire record series.

– A descriptive title based on the contents.

(7) Inclusive Date of Record: List the earliest and latest date of the records. If the records are still being created the latest date would be written as "present," i.e., 1980-present. If the records are no longer being created and the latest date is 1993, the inclusive date would be written as "1980-1993." If gaps are readily noticeable, such as the records exist for 1980 through 1986 then stop, but resume in 1991 through present, the inclusive date would be written as "1980-1986, 1991-present."

(8) Description: The record series description identifies the nature and purpose of the records. It must explain why the series was created and what functions are related to the series. The descriptions should state whether records are originals or copies. If records are duplicated elsewhere, this must be noted, along with the location of these duplicate records. An accurate description should also include a list of the types of documents within the series, such as forms, correspondence, or reports. If the records are maintained by the agency legal office, it is imperative that the description indicates whether they are covered by attorney-client privilege and/or work product doctrine. Any confidentiality requirements, including length of time records must be restricted, should also be noted in the description.

(9) File Arrangement: Check the primary arrangement, such as chronological, alphabetical, or numerical.

(10) Format of Record: Check the appropriate box.

(11) Series Cut-off: Most filing systems utilize a cut-off or break to separate records used in current operations from less active records. The cut-off may be by calendar year, fiscal period, or some other period of time. If no cut-off is evident, the series is considered to be continuous.

(12) Vital Records Status: Check the appropriate box. Please refer to *Management Directive 210.5* and *Manual M210.8.*

(13) Frequency of Reference: Check the appropriate box.

(14) Annual Accumulation – Number of Drawers: Estimate the number of drawers expected to accumulate in the next twelve months. Acceptable estimates of annual increases may be determined by (1) using the past experience of the unit to determine the annual accumulation, or (2) dividing the total number of drawers in the series by the number of years the series has existed.

(15) Number of Drawers: Count the number of drawers or boxes that contain the series being inventoried. Enter the number of drawers by type of filing equipment.

(16) Cubic Feet of Records: Convert the number of drawers to cubic feet by using the Cubic Foot Measurements chart in the right column.

(17) Audited: Check the appropriate box. If yes, indicate by whom the series will be audited.

(18) Legal Requirement Record Must be Kept: If the retention period is set by statute or administrative regulation, list the time period and provide the proper legal citation. If no citation exists, fill in "N/A."

(19) Retain in Operating Area: Fill in how many years and months the agency needs the record series to be stored in the operating area.

(20) Retain in the Records Center: Fill in how many years and months the agency needs the record series to be stored at the State Records Center.

(21) Microfilm: If the series will be microfilmed, indicate whether the originals will be kept or destroyed.

(22) Reason for Recommended Disposition: Explain the reasoning behind the agency's suggested retention period for the series.

(23) Inventory Taken By: Self-explanatory.

(24) Analysis Prepared By: Self-explanatory.

(25) Approved for Bureau and Date: Self-explanatory.

(26) Approved for Agency (Records Coordinator) and Date: Self-explanatory.

STD-57.xls asm   (REV 2-04)   **RECORDS INVENTORY AND ANALYSIS**

SUBMIT COPY 2 WITH STD-56 AND STD-58 TO: HISTORICAL AND MUSEUM COMMISSION, DIVISION OF RECORDS ADMINISTRATION & IMAGE SERVICES (HMC/DRAIS).

Department, Board, Commission ①	Bureau ①	Division ①	Section ①

Person to Contact ②	Telephone No. ②	Date of Inventory ③

Location of Records - Room No., Floor, Building ④	Type of Space ⑤ ☐ Office ☐ Storage

Record Series Title ⑥	Inclusive Date of Record ⑦

DESCRIPTION. Include form number, form title, activity to which the records relate.

⑧

File Arrangement
☐ Alphabetical   ☐ Numerical   ⑨ ☐ Chronological

Format of Record ☐ Machine Readable ☐ Audio/Visual ☐ Cartographic ☐ Photographic
☐ Loose Papers ☐ In Folders ☐ Volumes ☐ Microfilm ⑩

Series Cut-Off:
☐ Calendar Year ☐ Fiscal Period ☐ Continuous ☐ Other Specify- _____ ⑪

Vital Records Status (See Management Directive 210.5 for definition & types)
☐ Yes   ☐ No ⑫

Frequency of Reference
☐ Daily ☐ Weekly ⑬ ☐ Monthly ☐ Less Frequently

Annual Accumulation - Number of Drawers ⑭

Equipment	Number of Drawers	Cubic Feet of Records	CUBIC FOOT MEASUREMENTS
Letter-size Drawer Files			Letter-size drawer or box = 1.5 cu. ft.
Legal-size Drawer Files		⑯	Legal-size drawer or box = 2.0 " "
Letter-size Box or Transfile	⑮		Letter-size, 36" shelf = 2.0 " "
Legal-size Box or Transfile			Legal-size, 36" shelf = 2.5 " "

3 x 5 card, ten 12" rows = 1.0 " "
3 x 5 card, five 24" rows = 1.0 " "
4 x 6 card, six 12" rows = 1.0 " "
4 x 6 card, three 24" rows = 1.0 " "
5 x 8 card, four 12" rows = 1.0 " "
5 x 8 card, two 24" rows = 1.0 " "
Tab card, five 14" boxes = 1.0 " "
Tab card, three 24" rows = 1.0 " "

Audited: ☐ Yes *   ☐ No   *By Whom _____ ⑰

Legal Requirement Record Must be kept _____ Years ⑱ Citation(s) _____	Retain in Operating Area _____ Years _____ Months ⑲	Retain in Records Center _____ Years _____ Months ⑳	Microfilm Destroy ☐ Originals Keep ☐ Originals ㉑

A N A L Y S I S

Reasons for Recommended Disposition

㉒

Inventory taken by ㉓	Analysis prepared by ㉔	Approved for Bureau ㉕	Date	Approved for Agency (Records Coordinator) ㉖	Date

INSTRUCTIONS FOR COMPLETING FORM STD-58,
REQUEST FOR RECORDS ACTION

This form must be completed when any records action is being requested. It covers additions, amendments, and deletions to an agency's records schedule; the disposal of records for a discontinued agency program; the microfilming and disposal of original records; and the disposition of records stored on optical imaging systems.

(**1**) **Requested By (Department or Agency):** Self-explanatory.

(**2**) **Person to Contact (Name and Telephone No.):** This person should be knowledgeable about the records and the action being requested.

(**3**) **Date Prepared:** Self-explanatory.

(**4**) **Authorization is Requested for the Following Action:** Check the appropriate box.

(**5**) **Complete this Section for Approval of Records Retention and Disposition Schedule:** Fill in this section when requesting the addition, amendment, or deletion of record series on the agency's records schedule.

(**6**) **Additions:** When adding series to an existing schedule, complete this section.

(**7**) **Amendments:** When amending the retention or disposition of an existing series, complete this section.

(**8**) **Deletions:** When deleting a series from an existing schedule, complete this section.

(**9**) **Complete This Section for Disposal of Records for Discontinued Programs:** This section is only to be used for disposing records of discontinued programs currently on the records schedule, or when records are discovered relating to a discontinued program that are not on the agency's records schedule. When a program in the agency is discontinued, list all the series or item numbers pertaining to that program in this section.

You will need to fill in the information for each program including:

  ➢ Series or Item Numbers
  ➢ Record Series Title
  ➢ Inclusive Dates of Records
  ➢ Quantity in Cubic Feet

Example: Your agency is discontinuing the Green Stamp Program it has administered for the last 20 years. The program consists of the following items:

#101 – Eligibility Application for Green Stamps	1973-1993	2500 cubic feet
#102 – Photo Identification of Recipient	1973-1993	200 cubic feet
#103 – Approval Letters to Applicants	1973-1993	1000 cubic feet
#104 – Rejection Letters to Applicants	1973-1993	1500 cubic feet

Please also indicate the reason for discontinuance, activity to which records relate, organizational unit, and records location.

(**10**) **Requesting Agency Signature:** Self-explanatory.

(**11**) **Historical and Museum Commission:** Self-explanatory.

COMMONWEALTH OF PENNSYLVANIA
STD-56.xls aem   (REV. 2-04)

See Management Directive 210.5.

REQUEST FOR RECORDS ACTION

HMC USE ONLY
ID#

Requesting agency signs all copies, removes last copy without detaching the set and forwards documents to HISTORICAL & MUSEUM COMMISSION, DIVISION OF RECORDS ADMINISTRATION & IMAGE SERVICES (DRAIS) for required reviews, the second copy will be returned to the requesting agency when necessary approvals are obtained.

REQUESTED BY (DEPARTMENT OR AGENCY)	PERSON TO CONTACT (NAME & TELEPHONE NO.)	DATE PREPARED
(1)	(2)	(3)

AUTHORIZATION IS REQUESTED FOR THE FOLLOWING ACTION. CHECK APPROPRIATE BOXES.

☐ APPROVAL OF RECORDS RETENTION AND DISPOSITION SCHEDULE

☐ MICROFILMING AND DISPOSAL OF ORIGINALS

☐ CONVERSION TO OPTICAL IMAGING FORMAT AND DISPOSAL OF ORIGINALS

☐ DISPOSAL OF RECORDS FOR A DISCONTINUED PROGRAM

☐ MICROFILMING AND ORIGINALS RETAINED

☐ CONVERSION TO OPTICAL IMAGING FORMAT AND ORIGINALS RETAINED

(4)

(5) COMPLETE THIS SECTION FOR APPROVAL OF RECORDS RETENTION AND DISPOSAL SCHEDULE

REQUEST THIS AGENCY'S RECORDS RETENTION AND DISPOSITION SCHEDULE BE AMENDED TO ADD/DELETE THE FOLLOWING ITEMS AS SHOWN ON THE ATTACHED STD-56, RECORDS RETENTION AND DISPOSITION SCHEDULE. (IF MORE SPACE IS NEEDED, USE 8 1/2" x 11" SHEETS AND ATTACH.)

ADDITIONS (LIST ITEM NOS. AND ATTACH FORM STD-56 AND STD-57.)

(6)

AMENDMENTS (LIST ITEM NOS. AND ATTACH FORM STD-56.)

(7)

DELETIONS (LIST ITEM NOS. AND ATTACH FORM STD-56.)

(8)

COMPLETE THIS SECTION FOR DISPOSAL OF RECORDS FOR DISCONTINUED PROGRAMS

SERIES OR ITEM NO.	Record series title, description of records and form numbers (List by item number each type of record for which disposal is requested and reason for record discontinuance. Describe the work or activity to which the records relate. Identify organization unit and records location. If more space is needed, use 8 1/2" x 11" sheets and attach.)	INCLUSIVE DATES OF RECORDS (MO. & YR.)	QUANTITY IN CUBIC FEET
	(9)		

REQUESTING AGENCY SIGNATURE	HISTORICAL AND MUSEUM COMMISSION
(10)	(11)
_____ AGENCY HEAD	_____ EXECUTIVE DIRECTOR DATE

INSTRUCTIONS FOR COMPLETING FORM STD-59,
RECORDS TRANSFER LIST

This form must be completed when transferring records to the State Records Center or to the State Archives.

(1) **Date:**   Self-explanatory.

(2) **Agency (Include Bureau, Division or other Major Unit):**   Self-explanatory.

(3) **Agency No.:**   Enter agency number.

(4) **Bureau No.:**   Enter bureau number.

(5) **Schedule Item No.:**   Fill in the records series number that is being transferred.   If you are not sure what the number is, please contact your agency Records Coordinator for assistance.

(6) **Agency Box No.:**   Fill in the agency box number. If you are not sure what the number is, please contact your agency Records Coordinator for assistance.

(7) **Description of Contents:**   Self-explanatory.

(8) **Date of Records:**   Fill in the latest date (month and year) of the records being transferred.   If for example you transferred a correspondence file with a calendar year cut-off, the last date of the records would be, 12/94.

(9) **Disposal Date:**   Indicate the date these records are scheduled to be disposed of (month and year).   This will be verified at the State Records Center.

(10) **Disposal Code:**   Indicate the disposal code of the item being transferred.

(11) **Records Center Box No.:**   Leave this blank. This will be provided by the State Records Center staff, and a copy of the completed STD-59 will be returned to the agency.

(12) **Agency (Packed By and Date):**   Self-explanatory.

(13) **Agency Coordinator:**   Signature required.

(14) **Records Center (Received By and Date):**   Will be filled in by State Records Center staff.

> **Form STD-59 must be completed and received at the State Records Center at least one week prior to the actual transfer of the records. When transferring records directly to the State Archives, this form should accompany the records.**

RECORDS TRANSFER LIST

DATE MM/DD/YY (1)	AGENCY (MAY INCLUDE BUREAU, DIVISION OR OTHER MAJOR UNIT) (2)	DISPOSAL/ARCHIVAL CODES 1 - NO SPECIAL HANDLING 2 - REVIEW 4 - RETAIN 3 - SHRED 5 - RETURN TO AGENCY

AGENCY NO. (3)	BUREAU NO. (4)	SCHEDULE ITEM NO. (5)	AGENCY BOX NO. (6)	DESCRIPTION OF CONTENTS (7) EXAMPLES: ALPHA - AIRLINES TO RAILWAYS GEOGRAPHIC - ADAMS CO. TO CHESTER CO. CHRONOLOGICAL - 1/1/75 TO 6/30/75 NUMERICAL - CLAIMS 1234 TO 5467 SUBJECT - INSURANCE TO PERSONNEL	DATE OF RECORDS (mm/yyyy) (8)	DISPOSAL		RCRDS CNTR BOX NO. (11)
						DATE (mm/yyyy) (9)	C O D E (10)	
		EXAMPLES			EXAMPLE	OPTIONAL NOT REQUIRED		SRC USE ONLY
835	0202	237	000001		12/2004			

AGENCY PACKED BY DATE _____ (12)	AGENCY RECORDS COORDINATOR _____ (13)	SRC RECEIVED BY DATE _____ (14)

INSTRUCTIONS FOR COMPLETING FORM STD-61,
REFERENCE REQUEST

    This form must be completed when requesting six or more retrievals from the State Records Center in one day.   An agency may request five or less retrievals in one day by telephone, mail, or fax.

(1) **Agency:**   Self-explanatory.

(2) **Date:**   Self-explanatory.

(3) **Requested By – First Initial, Last Name:**   Self-explanatory.

(4) **Phone:**   Fill in the phone number of the person requesting the records.

(5) **Mail Address:**   Fill in the address of the person requesting the records.

(6) **Schedule Item No.:**   Fill in the schedule item number of the requested records.

(7) **Material Requested:**   Fill in the file or folder name requested.   Do not put the record series name or records center box number here.   If a specific file is not listed here, it will be assumed by State Records Center staff that the entire box is required.

(8) **Records Center Box No.:**   Self-explanatory.

(9) **Type of Service:**   Fill in Code 1 (send via mail) , 3 (will pick up) or 4 (will visit State Records Center).   Code 1 means that State Records Center staff will locate and mail the folder(s) to the agency.   Boxes must be picked up by the agency since they cannot be mailed.   Code 3 means agency staff will collect the box or file(s) from the State Records Center.   Code 4 means that the requesting agency staff will visit the State Records Center.

(10) **Will Original be Returned to the Records Center:**   Fill in Code 1 for Yes or 2 for No.

(11) **Furnish Copy:**   Check this column if you want the State Records Center staff to find the folder you requested and make a photocopy for you.

(12) **Signature of Authorized Person:**   Self-explanatory.

    The remainder of the form will be completed by State Records Center staff.   For your information if a request is not found, look at:

(13) **No Find:**   State Records Center staff will mark this with the codes on the bottom of the form: Code 1 – No Find, Code 2 – Wrong Box, or Code 3 – Signed Out.

(14) **Searcher's Initials and Comments:**   State Records Center staff will initial this and make any necessary, appropriate comments regarding their search for the records.

COMMONWEALTH OF PENNSYLVANIA
STD-61.xb sen   REV. 2/04   **REFERENCE REQUEST**

		SRC USE ONLY	
		AGENCY	DATE	REFERENCE NO.

AGENCY: (1)   DATE: (2)

REQUESTED BY: (3)   PHONE: (4)

MAILING ADDRESS: (5)

WILL ORIGINAL BE		
RETURNED TO THE	YES = 1	
RECORDS CENTER?	NO = 2	

NOTE: WHEN REQUESTING PERSONNEL FILES PLEASE PROVIDE EMPLOYEE'S SOCIAL SECURITY NUMBER, DATE OF BIRTH, SEPARATION DATE, LAST EMPLOYING AGENCY

TYPE OF SERVICE:
SEND VIA MAIL   1
WILL PICK UP   3
WILL VISIT SRC   4

SCHEDULE ITEM	MATERIAL REQUESTED	RECORDS CENTER BOX NUMBER	P H O T O C O P Y ?	N O F I N D
(6)	(7)	(8)	(9)	
			(10)	
			(11)	
				(13)

SIGNATURE OF AUTHORIZED PERSON: (12)

NO FIND CODES
1 = NO FIND   2 = WRONG BOX   3 = SIGNED OUT

SEARCHERS INITIAL'S AND COMMENTS: (14)

INSTRUCTIONS FOR COMPLETING FORM STD-65,
MICROFILM REQUIREMENT ANALYSIS

SIDE 1:

(1) **Department/Agency & Requesting Unit in Agency:** Self-explanatory.

(2) **Person to Contact:** Self-explanatory.

(3) **Narrative Description of Proposed System:** Describe the system you are planning to use including items such as vendor, manufacturer, and model of system.

(4) **List Records Retention Schedule Series Numbers:** Fill in the record retention series number(s) of the records you wish to have microfilmed.

(5) **Advantages Expected:** Check all boxes that apply to your proposal.

(6) **Volume of Records to be microfilmed:**

   Pages: Fill in the number of pages to be microfilmed.

   Size: Fill in the physical dimensions of the documents to be filmed.

   Covering Years Through: Fill in the start and end period of the documents.

   Future Workload: Fill in the estimated future volume of documents based on your appropriate time period.

(7) **Justification:** Your justification should be based on the items checked in the **Advantages Expected** section. Do not include monetary savings that will be addressed on Side 2.

SIDE 2:

(8) **Study Covers __ Years:** Fill in the number of years that you have based your study.

(9) **Computer Output/Conventional Microfilm:** Check appropriate box.

(10) **Cost of Microfilming:** Fill in the quantity and unit prices of any and all applicable areas and the totals will be calculated.

(11) **Savings Through Microfilming:** Fill in the quantity and unit prices of any and all applicable areas and the totals will be calculated.

(12) **Requesting Agency Signature:** To be signed by your agency's Records Coordinator or equivalent.

(13) **Total and Net Cost Savings:** This area will automatically be calculated.

(14) **Approval/Disapprovals and Signature:** This will be completed by PHMC.

MICROFILM REQUIREMENT ANALYSIS

DEPARTMENT/AGENCY

REQUESTING UNIT IN AGENCY (1)

PERSON TO CONTACT [NAME AND TELEPHONE NO.] (2)

NOTE: A decision to microfilm must be based on benefits from space saving, security, preservation, procedural improvement, or a combination of these. Complete applicable portions on both sides of this form to show benefits expected. Submit copies 1 and 2 with STD-58, Request for Records Action, and STD-56, Records Retention and Disposition Schedule to Pennsylvania Historical and Museum Commission, Division of Records Administration and Image Services (PHMC/DRAIS).

NARRATIVE DESCRIPTION OF PROPOSED SYSTEM [USE ADDITIONAL 8 1/2 x 11 SHEETS IF NEEDED]

(3)

LIST RECORDS RETENTION SCHEDULE ITEM NUMBERS

(4)

ADVANTAGES EXPECTED (CHECK BLOCKS WHICH APPLY)

☐ SPACE SAVING   ☐ PRESERVATION

(5)

☐ SECURITY   ☐ PROCEDURAL

VOLUME OF RECORDS TO BE MICROFILMED:

PAGES, SIZE _____

COVERING YEARS _____ THROUGH _____
INCLUSIVE.

FUTURE WORKLOAD: (6)

_____ PAGES EACH _____ (TIME PERIOD)

JUSTIFICATION [EXPLAIN BLOCKS CHECKED ABOVE. THIS SECTION REFERS TO OTHER THAN MONETARY SAVINGS AS COVERED ON REVERSE SIDE.]

(7)

COMPARATIVE ANALYSIS
Costs vs Savings

Study covers _____ years.

(8)

☐ COMPUTER OUTPUT MICROFILM (9)
☐ CONVENTIONAL MICROFILM

A. COST OF MICROFILMING

PREPARATION OF RECORDS FOR MICROFILMING

HOURS @ _____ PER HOUR $ _____

FILMING (MICROFILM SERVICE COMPANIES NORMALLY PROVIDE ESTIMATES)

IMAGES @ _____ PER IMAGE $ _____

EQUIPMENT

READERS @ _____ = $ _____
R/PRINTERS @ _____ = $ _____
@ _____ = $ _____
@ _____ = $ _____

(10)

SUPPLIES (REFER TO P & S ANNUAL SCHEDULE OF CONTRACTS)

R/PRINTER PAPER
R/PRINTER TONER
APERTURE CARDS OR JACKETS
MICROFICHE @ _____ = $ _____
COPY ROLLS OF FILM @ _____ = $ _____
REELS-BOXES-LABELS @ _____ = $ _____
OTHER @ _____ = $ _____

$ _____

OTHER COSTS (INCLUDE COSTS RESULTING FROM MICROFILMING, I.E. PREPARATION OF MAG TAPE INDEX.)*

HOURS STUFFING JACKETS @ _____ = $ _____
HOURS MOUNTING @ _____ = $ _____
APERTURE CARDS @ _____ =
HOURS LABELING BOXES @ _____ = $ _____
@ _____ = $ _____
@ _____ = $ _____

$ _____

TOTAL COST OF MICROFILMING

*CALCULATE EMPLOYE SALARY ON HOURLY BASIS FOR WORK OF STUFFING, MOUNTING, LABELING.

REQUESTING AGENCY SIGNATURE

(12)

_____
RECORDS COORDINATOR (OR EQUIVALENT)

B. SAVINGS THROUGH MICROFILMING

SPACE

SQ. FT. OFFICE SPACE @ _____ **= $ _____ PER YEAR
CU. FT. RECORDS CENTER @ _____ ***= $ _____ PER YEAR
YRS. COVERED BY STUDY X TOTAL PER YR. = $ _____

COMPUTER TIME

HRS. PRIME @ _____ = $ _____
HRS. REGULAR @ _____ = $ _____

LABOR

HRS. COMP. OPR. @ _____ = $ _____
HRS. CLERK @ _____ = $ _____
HRS. SUPERVISOR @ _____ = $ _____
HRS. @ _____ = $ _____

$ _____

SUPPLIES

TAB SHEETS/SETS
RIBBONS

$ _____

(11)

OTHER

PACKAGING
POSTAGE
FILE CABINETS **** @ _____ = $ _____

$ _____

TOTAL SAVINGS THROUGH MICROFILMING

** CURRENT COST AS DETERMINED BY DGS, BUREAU OF REAL ESTATE
*** CURRENT COST AS DETERMINED BY HMC, DFMS
**** USE PURCHASE COST

TOTAL SAVINGS THROUGH MICROFILMING $ _____
TOTAL COST OF MICROFILMING $ _____
NET SAVINGS COST $ _____

(13)

PHMC USE ONLY

☐ APPROVED   ☐ DISAPPROVED
☐ RETURNED FOR FURTHER ANALYSIS

(14)

_____ DATE _____
SIGNATURE

INSTRUCTIONS FOR COMPLETING FORM STD-66,
REQUEST TO ACQUIRE MICROFILM EQUIPMENT

(1) Department/Agency & Requesting Unit in Agency: Self-explanatory.

(2) Person to Contact: Self-explanatory.

(3) Quantity: Self-explanatory.

(4) Equipment Requested: Describe the system you are planning to use including items such as vendor, manufacturer and model of system.

(5) Unit Cost: Self-explanatory.

(6) Total: Self-explanatory

(7) Equipment Intended: Check intended purpose of this equipment.

(8) To Be Used In: Check the intended location of the equipment.

(9) List Records Retention Schedule Item Numbers: Fill in the record retention series number(s) of the records you wish to have microfilmed.

(10) Present Microfilm Equipment: List the manufacturer and model of your current microfilm equipment.

(11) Justification: List all applicable justifications such as labor savings and current machine obsolescence.

(12) Records Coordinator Signature: To be signed by your agency's Records Coordinator or equivalent.

(13) Director Administrative Services: Self-explanatory

(14) PHMC-DRAIS Use Only: This will be completed by PHMC.

REQUEST TO ACQUIRE MICROFILM EQUIPMENT

COMPLETE ALL COPIES, REMOVE LAST COPY WITHOUT DETACHING THE SET AND FORWARD TO HISTORICAL AND MUSEUM COMMISSION, DIVISION OF ARCHIVAL & RECORDS MANAGEMENT SERVICES (HMC/DARMS)

DEPARTMENT/AGENCY	PERSON TO CONTACT (NAME AND TELEPHONE NO.)
(1)	**(2)**
REQUESTING UNIT IN AGENCY	

QUANTITY	EQUIPMENT REQUESTED	UNIT COST	TOTAL
(3)	**(4)**	**(5)**	**(6)**

EQUIPMENT INTENDED — **(7)**
- ☐ AS A REPLACEMENT
- ☐ TO AUGMENT SYSTEM
- ☐ FOR NEW PROGRAM*

TO BE USED IN — **(8)**
- ☐ CENTRAL OFFICE
- ☐ FIELD

LIST RECORDS RETENTION SCHEDULE ITEM NUMBERS — **(9)**

* Before beginning a new microfilming program, approvals are required from the Pennsylvania Historical and Museum Commission (PHMC), Division of Records Administration and Image Services (DRAIS) (Form STD-65, Microfilm Requirement Analysis) and the Executive Board (Forms STD-56, Record Retention Schedule Addition or Amendment and STD-58, Request for Records Action). Field Offices forward requests through agency Central Office.

PRESENT MICROFILM EQUIPMENT — **(10)**

JUSTIFICATION (EXPLAIN NEED FULLY, RELATE TO PROGRAM FUNCTION) — **(11)**

AGENCY APPROVALS

RECORDS COORDINATOR (OR EQUIVALENT)	DATE	DIRECTOR, ADMINISTRATIVE SERVICES (OR EQUIVALENT)	DATE
(12)		**(13)**	

▼ PHMC-DRAIS USE ONLY ▼

(14)
- ☐ APPROVED
- ☐ DISAPPROVED
- ☐ RETURNED WITHOUT ACTION

SIGNATURE AND DATE