
MANAGEMENT DIRECTIVE

210.5
Amended
Number

COMMONWEALTH OF PENNSYLVANIA GOVERNOR'S OFFICE

Subject:

Records Management

By Direction Of:



Eric Bittenbender, Secretary of Administration

Date:

September 16, 2002

This directive contains policy, responsibilities, and procedures for records management. This amendment revises the Definition section and reflects organizational changes at the Pennsylvania Historical and Museum Commission.

1. **SCOPE.** Applies to all agencies subject to *The Administrative Code of 1929*.
2. **OBJECTIVES.** The records management program is established to control the creation, use, maintenance, preservation, and disposition of records of state agencies. The program shall:
 - a. Ensure the maintenance and retention of agency records, regardless of format, in accordance with the administrative, legal, and fiscal needs of state government.
 - b. Identify and protect records vital to state government.
 - c. Identify and ensure continuing access to permanently valuable records.
 - d. Ensure that records of temporary value are destroyed in conformance with approved records retention and disposition schedules.
 - e. Minimize the cost of doing government business while improving service to the public.
3. **POLICY.**
 - a. *Executive Order 1992-1, Records Management*, reassigns responsibility for implementing the records management program to the Pennsylvania Historical and Museum Commission (PHMC).
 - b. Responsibilities for defining and coordinating a Commonwealth records management program have been assigned by the Governor to the Secretary of Administration.
 - c. The Executive Board is required, by *Sections 524 and 525 of The Administrative Code of 1929*, to approve microfilming of records and the disposition of records.
 - d. Although by law, the Executive Board is concerned only with records that date back four years or more, all records are to be identified and assigned retention periods.

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

4. DEFINITIONS.

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

b. Disposition of records. The changing of custody, location, or existence of records including transfer to the State Records Center, transfer of permanently valuable records to the State Archives, or destruction.

c. Inactive records. Those which are not needed to conduct current operations.

- **d. 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 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.

e. 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.

- **f. 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.

g. 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.

h. 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 each 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.

i. 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.

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

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

I. 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.

5. RESPONSIBILITIES.

a. The Secretary of Administration is to:

- (1) Administer the records management program.
- (2) Issue all directives regarding the Commonwealth's records management program.
- (3) Oversee the implementation of the records management program in conjunction with the PHMC.

b. The Pennsylvania Historical and Museum Commission (PHMC) is to:

(1) Develop all records management procedures, guidelines, and standards for approval and issuance by the Secretary of Administration.

(2) Make continuing surveys of records management systems and recommend improvements in system techniques.

(3) Advise agencies on development of records inventories and on determining retention periods.

(4) Assist agencies with training in various aspects of records management.

(5) Conduct studies, as needed, pursuant to *Section 527 of the Administrative Code*, of the accumulation of records in the possession of agencies.

(6) Control the accumulation of Commonwealth records through the approval of microfilming equipment and through enforcement of records retention and disposition schedules. •

(7) Administer the State Records Center. Provide adequate safety and security of inactive records stored at the center.

(8) Maintain current roster of agency personnel who are authorized to access inactive records at the State Records Center.

c. Agencies Heads are to:

(1) Establish and maintain a continuing program for the economical and efficient management of their agency's records.

(2) Appoint a Records Coordinator to have agency-wide responsibility for managing and coordinating records management activities.

d. Records Coordinators are to:

(1) Serve as primary liaison and point of contact between the agency and the Commonwealth records management program as administered by the Pennsylvania Historical and Museum Commission's Division of Records Administration and Image Services (DRAIS) and Division of Archival and Records Management Services (DARMS). •

(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.

6. PROCEDURES.

a. Each agency's records management program is to provide for:

(1) Control over the creation, maintenance, and use of current records.

(2) Coordination with the PHMC in applying standards and procedures to improve the management of records.

(3) Inventory of records, their 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.

(4) Identification and protection of vital records.

(5) Disposition of records according to schedules approved by the Executive Board.

(6) Submission of reports needed by either the PHMC or the Executive Board for an evaluation of the program.

b. Requests for filing equipment are to be processed in accordance with instructions issued through *Management Directive 210.6, Selection, Acquisition, and Use of Filing Equipment*.

c. Requests to microfilm records are to be processed in accordance with instructions issued through *Management Directive 210.4, Central Microfilm Management*.

d. Approvals to establish or revise retention schedules are to be obtained as follows:

(1) **Agency.**

(a) Prepares Form STD-57, Records Inventory and Analysis, in duplicate, for all additions to the agency's schedule. (It is not necessary to prepare the STD-57 for amendments or deletions to an existing schedule item.)

(b) Prepares Form STD-56, Records Retention Schedule Addition or Amendment.

(c) Prepares Form STD-58, Request for Records Action, for signature of agency head or designee.

(d) Retains one copy of Form STD-57 and "agency pending" copies of Forms STD-56 and STD-58.

(e) Forwards Forms STD-56, STD-57, and STD-58 to Division of Records Administration and Image Services (DRAIS), Pennsylvania Historical and Museum Commission (PHMC). •

(2) **DRAIS, PHMC.** •

(a) Reviews request for:

- Item number sequence;
- appropriateness of retention periods; and
- adequacy of description and identification.

(b) Returns forms to agency for correction, if necessary.

(3) **DARMS, PHMC** indicates which records are of permanent value or historical interest by placing a "2" or "4" in the archival code column. The "2" designates records that cannot be disposed of until State Archives staff has completed further review. The "4" designates records that will be transferred to the State Archives without further review upon completion of the scheduled retention period. •

(4) **Executive Director, PHMC**, approves request by signing Form STD-58.

(5) **DRAIS, PHMC** sends appropriate copies of Forms STD-56 and STD-58 to the Executive Board. •

(6) **Executive Board** periodically approves formal records resolutions and sends copies to DRAIS, PHMC. •

(7) **DRAIS, PHMC** sends copies of resolutions, agency copies of Forms STD-56 and STD-58, along with any other instructions, to agencies listed on resolutions. •

This directive replaces, in their entirety, Management Directive 210.5 dated June 1, 1999, and Revision No. 1 dated March 7, 2000, which should be recycled.