

COUNTY RECORDS MANUAL



ISSUED FOR THE
COUNTY RECORDS COMMITTEE
BY THE
PENNSYLVANIA HISTORICAL AND MUSEUM COMMISSION
BUREAU OF THE STATE ARCHIVES
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SECTION 1:
PROCEDURES AND
STANDARDS

GENERAL PROVISIONS

Definitions

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

ACT - The County Records Act of August 14, 1963 (P.L. 839, No. 407) (16 P.S. 13001-13006) as amended.

ARCHIVES - The Commission's Division of Archival and Records Management Services (State Archives).

COMMISSION - The Pennsylvania Historical and Museum Commission (PHMC).

COMMITTEE - The County Records Committee.

Purpose

This manual has been issued to inform certain county administrative, fiscal and judicial officers of the opportunity to legally dispose of records in accordance with the provisions of the County Records Act and Rule of Judicial Administration Pa.R.J.A. No. 507(a). (See Appendix I)

The Program

In the last fifty years, there has been a tremendous increase in the amount of records being created and maintained by county governments. New health and human service programs, increasing judicial case loads, and the introduction of new methods of duplicating records are primarily responsible for this proliferation of documentation. As a result of this "records explosion", county governments have had to spend more money to create, store and access information. An effective records management program can reduce the cost of creating, storing, and retrieving records and can increase productivity by saving staff time. Recognition of the need for a workable local government records management program in Pennsylvania led to the passage of the County Records Act of 1963. The act established the County Records Committee which is composed of representatives of certain county offices, the Commission, attorneys, and the general public. The Committee is currently chaired by the judicial representative of the Chief Justice of the Supreme Court. Under the act, the Pennsylvania Historical and Museum Commission is designated as the agency responsible for assisting the County Records Committee and administering its local records program. The Commission, working through its Division of Archival and Records Management Services (the State Archives) in carrying out these records functions, seeks and utilizes the assistance of county and state officials and others knowledgeable in this area.

The Committee's primary responsibility is to develop records retention schedules and disposition procedures for certain county offices. In counties of the second thru eighth class, county administrative and fiscal officers are authorized by the act to dispose of records in accordance with schedules and procedures which have been approved by the Committee.

The Supreme Court of Pennsylvania is responsible for promulgating records retention schedules and disposition procedures for the records of the entire unified judicial system. Under the terms of Rule of Judicial Administration Pa.R.J.A. No. 507(a), the Administrative Office of Pennsylvania Courts (AOPC) has delegated part of that responsibility to the County Records Committee and has directed Common Pleas Court Prothonotaries, Clerks of Courts, Clerks of Orphans' Courts, Registers of Wills, District Attorneys, Sheriffs, Coroners and Jury Commissioners or their Home-Rule equivalents to dispose of records in conformance with the applicable records retention schedules

and disposition procedures which have been approved by the Committee. Other unified judicial system personnel not covered by Pa.R.J.A. No. 507(a) should contact the AOPC or the State Archives for information on how to legally dispose of records.

County Records

The County Records Act defines county records as "any papers, dockets, books, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received in any office of county government in pursuance of law or in connection with transactions of public business in the exercise of its legitimate functions and the discharge of its responsibilities."

Retention periods listed in the County Records Manual apply to information in all forms and formats. The fact that information is created and stored electronically or on microfilm rather than on paper has no bearing on its retention status. All information included under the definition of a county record must be disposed of in accordance with the County Records Act and disposition procedures approved by the County Records Committee.

Procedures for the Destruction or Transfer of County Records

Records may be destroyed or transferred in conformance with the provisions of Sections 3, 4 and 4.1 of the County Records Act. According to Section 5, a county officer who disposes of public records in accordance with the provisions of the County Records Act cannot be held liable on his/her official bond or in the way of damages for loss or in any other manner, civil or criminal, because of the disposition of public records pursuant to the provisions of this act.

The act requires that, when disposing of records, county officers shall:

1. Follow the schedules and procedures prescribed by the County Records Committee as contained in the County Records Manual. It is to be understood that the records schedules authorize and recommend, but do not require the disposal of records after the expiration of approved retention periods. Unless otherwise noted, the retention periods refer to the length of time the records must be retained after filing. Microfilm copies may be substituted for both permanent and non-permanent records unless otherwise noted in the schedule.
2. Receive written consent from the Pennsylvania Historical and Museum Commission before destroying records scheduled for permanent retention which have been copied in compliance with Committee standards and guidelines, before destroying records not listed on the schedule or before transferring records to the State Archives.

Counties requesting permission to transfer or destroy records which meet these criteria must submit a records disposal certification request form in duplicate to the Commission's Division of Archival and Records Management Services. Forms may be obtained from the Division at the address at the end of this section (See Appendix II for sample). If the disposal request involves records not listed on the schedule, care should be taken to provide a complete explanation of the nature and content of the records in the area titled "Description of Record If Not On Schedule." Requests to dispose of records scheduled for permanent retention must be accompanied by appropriate microfilm quality inspection report forms relating to the disposal request. Even though a suitable microfilm copy has been made, Commission approval must be obtained before destroying or transferring permanently valuable records unless otherwise noted in the schedule.

3. Maintain a log of individual disposition actions involving non-permanent records (See Appendix II for sample). Copies of the records disposal log form shall be submitted on an annual basis to the Commission's Division of Archival and Records Management Services. Written

consent from the PHMC is not necessary before destroying non-permanent records as identified in the schedule.

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

Records are scheduled for permanent retention by county governments, either in the original or microfilm form (unless otherwise noted), if they have continuing administrative and legal value. Such records are also historically valuable. The fact that records are not scheduled for permanent retention in the County Records Manual does not necessarily mean they do not have any historical value or that the State Archives would not be interested in accessioning some of these records. For example, some records might be historically valuable merely because of their age, since relatively few early records have survived to the present.

Aviation Managers' Logs, individual Fire Reports, Photographs, Campaign Expense Reports, superseded Tax and Planning Maps, are examples of some short term county records which could be selected for transfer because of their historical value. Also, records which relate to obsolete county functions such as Animal Bounty Affidavits; Applications for Tavern Licenses; and Automobile, Medical and Veterinary Registers have historical value and should be maintained in an archives. Questions regarding the possible historical value of county records should be referred to the Commission's Division of Archival and Records Management Services (State Archives).

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

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

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

AUDIT REQUIREMENTS, FEDERAL AND STATE STATUTES AND ADMINISTRATIVE REGULATIONS

- 1.** Records subject to audit must be retained for the periods listed in the schedule and must be audited and all findings resolved before such records may be destroyed. Applicable Federal and State statutes and administrative regulations may necessitate retaining records for a longer period of time than indicated in the schedule. Information on specific program regulations should be obtained from the appropriate administering/funding/licensing agency.
- 2.** Records involved in any litigation must be retained until final disposition of the case even if they have met the minimum retention requirements.

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

1. Purpose

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

2. Objectives

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

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

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

3. Scope

Applies to all county officers covered by the County Records Act and by Supreme Court Rule of Judicial Administration Pa. R.J.A. No. 507(a).

4. Definitions

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

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

ANSI –The American National Standards Institute, a private standards organization in the United States which coordinates the

development and maintenance of various industry standards

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

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

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

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

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

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

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

Electronic Mail (e-mail) System – A system that enables users to compose, transmit, receive, and manage text and/or graphic electronic messages and images across local area networks and through gateways connecting other networks. This information consists primarily of messages, but may include attachments such as calendars,

directories, distribution lists, word processing documents, spreadsheets, and other electronic documents.

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

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

Information System – Logical group of subsystems and data required to support the data needs of one or more business processes.

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

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

Microform –A form, usually film that contains microimages.

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

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

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

Receipt Data – Information in e-mail systems regarding date and time of receipt of a message and/or acknowledgment of receipt or access by addressee(s).

Record-keeping System – A system (manual or electronic) for organizing and identifying records to speed their retrieval, use and disposition and to provide adequate documentation of the county's functions and business transactions.

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

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

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

5. Policy

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

5.2 Permanent records are those records which have been scheduled for permanent retention either in the original or microform copy by the County Records Committee or by applicable statute and regulation. Long-term records are any records that need to be retained for more than ten years.

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

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

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

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

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

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

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

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

5.10 When duplicate copies of E-mail messages are sent internally, the sender should be responsible for maintaining the primary copy for the full applicable retention period. All other copies should be disposed of in accordance with approved retention schedules relating to transitory messages.

5.11 E-mail messaging systems should not be used as a document storage or records management system. Storing E-mail messages within an E-mail system including personal folders is not sufficient to meet required retention and disposition schedules.

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

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

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

6. Procedures

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

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

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

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

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

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

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

6.1.1f Similar security precautions required of paper records must be employed when destroying or reusing electronic media that contain privacy-protected or confidential information. Electronic storage media containing such information must be electronically wiped clean or physically destroyed in such a manner that the information cannot be reconstructed.

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

6.3 County governments that do not have the technical capability to manage e-mail messages for the full retention period in an electronic format shall create an analog copy (paper or microfilm). In addition to the content, the following information shall be retained about each message: name of sender, name of recipient, date and time of transmission and/or receipt. Records printed from

e-mail systems shall be filed in accordance with standard office procedures.

6.4 County governments shall establish standards/procedures to manage the storage of records on e-mail and shall not rely on e-mail server backup procedures to manage the retention and disposition of records created in e-mail systems.

7. Legal Admissibility of Electronic Records

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

7.1 Document that similar kinds of records generated and stored electronically are created by the same processes each time and have a standardized retrieval approach.

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

7.3 Identify the electronic media on which records are stored throughout their lifecycle and the maximum time span that records must remain on each storage medium in order to comply with minimum retention periods as cited in the County Records Manual.

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

8. Security of Electronic Records

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

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

8.2 Provide for backup and recovery of records to protect against information loss.

Documented disaster recovery plans and procedures shall be established for all electronic records systems. Disaster recovery plans and procedures should be reviewed and updated at least annually.

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

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

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

9. Selection and Maintenance of Electronic Records Storage Media

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

8.1 Specific requirements in selecting storage media.

8.1.1 Permit easy retrieval in a timely fashion.

8.1.2 Facilitate the distinction between records and non-records as defined in the County Records Act.

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

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

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

8.2.1 The required retention period of the records.

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

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

8.2.4 The density of the record.

8.2.5 The access time necessary to retrieve stored records.

8.2.6 The portability of the medium (selecting a medium that will run on equipment produced by multiple manufacturers) and the ability to transfer information from one medium to another as well as the flexibility of the software to be migrated into a different medium if desirable or necessary.

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

8.3 County officers shall ensure that all authorized users can identify and retrieve information stored on removable disks or tapes by establishing or by adopting procedures for external labeling as well as procedures for computer library subsystems for storage media identification.

8.4 County officers shall ensure that information is not lost because of changing technology or deterioration by converting storage media to provide compatibility with the county's current hardware and software. Before conversion to a different medium, county officers shall determine that the authorized dispositions of the electronic records can be implemented after conversion.

8.5 County officers should back up electronic records on a regular basis to safeguard against the loss of information due to equipment malfunctions or human error. Duplicate copies of permanent records should be maintained in separate buildings. All security copies of vital electronic records, regardless of retention period, should be stored in a separate building.

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

For additional information, contact:

Pennsylvania Historical and Museum Commission
Division of Archival and Records Management Services
350 North Street
Harrisburg, PA 17120-0090
(717) 783-9874, (717) 787-3913

Officers may wish to contact AIIM for the most recent edition of Microfilm Standard -MS 48 Recommended Practice for Microfilming Public Records on Silver-Halide Film and other applicable standards:

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

STANDARDS FOR MICROFILMING COUNTY RECORDS

1. Authority

The standards were adopted by the County Records Committee in accordance with the County Records Act (16 P.S. 13001-13006).

2. Purpose

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

3. Scope

The standards relate to the filming, processing, inspection, handling and storage of microform copies, of records created by county offices covered by the County Records Act and Rule of Judicial Administration Pa. R.J.A. No. 507 (a). They must be included as part of the requirements in all microfilm service contracts. With minor exceptions, these standards are in strict conformance with American National Standards Institute (ANSI) and Association for Information and Image Management (AIIM) standards and practices. Raster Output Microforms are covered by the standards. Color films are not covered by the standards.

4. General Provisions

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

4.1 Microimages, including the generation intended for use by office staff or the general public, shall contain all of the recorded information shown on the originals and shall be able to serve the purpose for which the original records were created or maintained. Microimages shall be free of obstructions, shadows or glare which impair the legibility of a document.

4.2 Microimages of the records shall be arranged, identified and indexed so that any individual document or component of the records can be located with reasonable ease.

5. Creation of Archival Security Microfilm Copies of Permanent Records

5.1 All county records custodians engaged in, or contracting for, the microfilming of permanent records shall provide for the creation of an archival security microfilm copy of such records.

5.2 Permanent records are those records which have been scheduled for permanent retention either in the original or microfilm copy by the County Records Committee or by applicable statute and regulation.

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

5.4. The original camera film (Master Negative) of records scheduled for permanent retention shall never be used for reference purposes and should normally be designated as the archival security microfilm copy. Silver-gelatin duplicate negatives or silver-gelatin duplicate positives that meet appropriate standards may serve as the security copy if necessary. If the original camera film is to be jacketed or cut for aperture cards, an uncut duplicate roll of silver halide film that meets the appropriate standards for security film shall be made and designated as the official security copy. Records custodians employing systems that do not produce an original silver-gelatin microfilm which meets permanency standards shall make a silver-gelatin duplicate negative or silver-gelatin duplicate positive which does meet these standards.

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

6.1 Film Stock Safety Photographic film as specified in ANSI/NAPM IT9.1-1992 and ANSI IT9.6 1991.

6.2 Density. Background densities of negative-appearing archival security microfilm copies shall, where possible, be between .9 and 1.2.

In certain instances, some poor-contrast documents may require lower densities in order to make the entire image legible and reproducible as mentioned in ANSI/AIIM MS23-1991. Densities of raster COM microforms should be adequate and uniform; all information must be reproduced accurately and completely so that its use will not be impaired. Raster COM microforms must meet all appropriate density standards. Background density on positive appearing negative camera film shall not exceed 0.35. The density of silver duplicate positives designated as the security copy shall be between 0.04 and 0.20 where possible. Background density of Computer Output Silver Gelatin (1N) Microfilm (full reversal processing) shall, where possible, be between 1.5-1.8 (1.8 preferred).

6.3 Base-plus-Fog Density. The base-plus-fog density of unexposed, processed, clear-based film shall not exceed 0.10. When a tinted-base film is used, the density will increase by 0.10 or 0.20 which must be added to the 0.10 value. The use of tinted, high fog base films is not recommended.

6.4 Resolution. A minimum resolution of 90 lines per millimeter shall be obtained regardless of reduction ratio used or the type of camera used, and the 4.0 pattern shall be resolved. In cases where raster COM microforms are reproduced, measurement of resolution and quality of raster COM film is determined in dots per inch. Raster COM microforms must meet all appropriate resolution standards. A paper print made from the third generation microfilm copy should be able to serve the same purpose for which the original records were created.

6.5 Residual Thiosulfate. Residual Thiosulfate ion concentration must be greater than zero but shall not exceed 0.014 grams per square meter in a clear area in accordance with ANSI/NAPM IT9.1-1992.

7. Identification, Technical, and Declaratory Targets for Roll Microfilm (See Appendix III)

7.1 All roll microfilm shall include targets which adequately identify the records and targets needed to check for compliance with resolution requirements. A blank, white sheet of paper shall be photographed at the beginning of each roll to

test the uniformity of the illumination and the cleanliness of the camera's optical system. Resolution test targets shall be filmed near the beginning and end of each roll. Targets used shall be either the NIST SRM 1010A Microcopy Resolution Test Chart or an equivalent for planetary cameras such as the AIIM X303 test chart and the AIIM X112 (plastic target) or AIIM X113 (paper target) or their equivalents for rotary cameras. Do not use photostatic or electrostatic copies of resolution charts. Identification targets shall state the name of the county and office; name and title of the records custodian responsible for the records at the time of filming; reduction ratio; and record series title, dates, and such volumes or serial numbers needed to clearly identify the records. Each roll shall end with a declaration by the camera operator. The declaration shall include the operator's signature, date the declaration was filmed, and restatement of records filmed.

Retakes and retake targets should normally be spliced onto the beginning of the roll in which the errors occurred, preceding the start target. The use of intelligent/blip encoded microfilm may necessitate the use of different retake procedures.

7.2 Filming sequence should be:

- 1) blank white sheet of paper
- 2) start target
- 3) roll number target
- 4) resolution test target
- 5) reduction ratio target
- 6) agency and record series identification target(s)
- 7) if applicable, "continued from preceding roll" target--instances where volume is filmed on more than one roll
- 8) the text
- 9) if end of book, film "end of volume" target-if not end of volume, but end of roll coming, film "continued on next roll" target
- 10) if end of roll, film the declaration by the camera operator, the resolution target, and the "end of roll" target
- 11) raster COM microforms should also contain a target stating the name of the conversion vendor; and a target indicating the dots inch (dpi) at which the conversion was done, in addition to proper identification targets (no resolution or scanner target should be overlaid on the microform)

8. Splices

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

9. Quality Control Practices and Procedures

9.1 Procedures to be followed in establishing and operating a microfilm program should conform to appropriate recommendations contained in ANSI/AIIM MS23-1991 Practice for Operational Procedures/Inspection and Quality Control of First-generation, Silver Microfilm of Documents. Each camera negative shall be checked for proper identification targets, density, resolution and visual defects.

9.2 The ability of archival security microfilm copies of permanent records to serve as a substitute for the original records shall be adequately confirmed and documented. Quality control logs for such film shall be maintained to document adherence to standards (see Appendix IV). At a minimum, such logs should verify the following:

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

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

9.2.3 Density readings were taken on a blank white sheet of paper at the beginning of the roll, and, at a minimum, on the background of document images at the beginning, middle, and end of each roll.

9.2.4 A Base-plus-Fog Density Reading (D_{min}) for each roll.

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

9.2.6 Methylene Blue tests are being done on a regular basis. Testing should be done by an outside laboratory at a minimum on a monthly

basis. Appropriate sample strips must be inspected within fourteen days after processing.

Certificates from the laboratory, documenting that the microfilm passed the methylene blue test, should be maintained along with the logs. The certificates should include the name of the agency whose film was processed, processing date, date of methylene blue test, test results, processor used and the signature of the person who did the test.

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

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

11. Computer Output Silver Gelatin (1N) Microfilm Procedures

COM programs should conform to standards set down in ANSI/AIIM MS1-1988. Density of Computer-Output Microfilm should be between 1.5 and 1.8 (Full Reversal).

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

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

12.1 Temperature/humidity shall not exceed 70 degrees/40 percent. Fluctuations shall not exceed 5 degrees/5 percent over a 24-hour period.

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

12.3 Facility shall provide protection from fire,

theft and natural disaster.

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

12.5 Film shall be stored in closed containers made of an inert material such as plastic, acid-free paper, or nonferrous metals. Cores or reels shall be noncorroding such as plastic compounds or nonferrous metals. Rubber bands shall not be used to fasten film onto reels or cores.

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

12.7 As appropriate, a sampling of randomly selected microforms shall be inspected in conformance with ANSI/AIIM MS45-1990. For each inspection period, a different lot shall be chosen allowing some overlap to note changes in previously inspected film.

13. Security Copies of Vital and Long-Term Records

13.1 The security microfilm copy of long-term records shall be created and stored in conformance with standards for archival security microfilm copies of permanent records. The following sections are applicable to long-term records: Sections 4, 5, 6, 7, 8, 9.1, 10, 11, and 12.

13.2 Long-term records are any records that need to be maintained for more than ten years either in the original or microfilm copy. Security microfilm copies of vital records should be stored where appropriate in conformance with standards for long-term and permanent records. All security microfilm copies of vital records, regardless of retention periods, should be stored in a separate building from the user copy.

14. Short-Term Records

14.1 Short-term records are defined as records that require retention for ten years or less as indicated in the County Records Manual. Silver halide or other films are acceptable as the camera film. Film shall be processed in accordance with applicable ANSI/AIIM standards for their particular film types. The following sections are applicable to short-term records: Sections 4, 6.2, 6.3, 6.4, 7, and 9.1.

15. Reference Copies of Microforms

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

For additional information, contact:

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

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

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

1. Purpose

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

2. Objectives

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

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

2.3 To ensure that information stored on optical imaging and data storage systems will be accessible in conformance with records retention and disposition schedules and procedures approved by the County Records Committee.

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

3. Scope

Applies to all county officers covered by the County Records Act and by Supreme Court Rule of Judicial Administration Pa. R.J.A. No. 507(a).

4. Policy

4.1 Records relating to optical imaging and storage systems, including systems documentation, may be disposed of only in accordance with schedules approved by the County Records Committee.

4.2 Permanent records are those records which have been scheduled for permanent retention either in the original or microform copy by the County Records Committee or by applicable statute and regulation. Long-term records are any records that need to be retained for more than ten years either in the original or microfilm copy.

4.3 County officers are responsible for making provisions to retain either the original copies of permanently valuable records or making archival security microform copies to serve as a substitute. Archival security microform copies must be created and maintained in conformance with applicable standards approved by the County Records Committee.

4.4 In those instances where the optical disk is the original medium for records scheduled for permanent retention, such as the procedural or transactional recording of deeds, provisions must be made to retain paper copies of such records or to create archival security microfilm copies of the records. The preferred strategy for ensuring the creation of an archival security microfilm copy would require the retention of the original instrument or a paper copy made from the original instrument, until the film copy has been verified. The use of raster computer output microfilm meeting appropriate standards is acceptable as the security copy (see ANSI/AIIM MS48).

4.5 With certain exceptions, county officers will not have to make provisions to retain non-permanent records copied onto optical disks in a human-readable format. There are situations which, due to the unusually vital nature of the records or their relatively long retention period, will make it necessary to require the retention of a human-readable copy.

5. Optical Imaging and Data Storage Guidelines

5.1 A county officer who purchases and operates

an optical imaging and data storage system must provide for **the usability of image and index data** over time by:

5.1.1 Management. In order to maintain access to digital information stored on optical media, a county officer must ensure that:

5.1.1a All information retention requirements and procedures established by the County Records Committee are addressed during the system planning.

5.1.1b Where possible, systems should be built from hardware and software components that conform to non-proprietary and/or commonly accepted standards, and

5.1.1c Vendors should deposit a copy of computer source code and associated documentation with the county for use in the event of the vendor's business failure.

5.1.2 Preservation Strategy. To ensure that records stored on optical media are preserved, a county officer must:

5.1.2a Maintain proper care and handling procedures for optical media by keeping a clean, dust-free environment for all equipment and prohibit eating, drinking or smoking in the area.

5.1.3 Migration Strategy. To ensure access to long-term records, a county officer must provide a means to:

5.1.3a Upgrade equipment as technology evolves and periodically recopy optical media as required, or

5.1.3b Recopy optical media (based upon projected longevity of the optical disk) every ten years, or

5.1.3c Transfer data from an obsolete generation of optical technology to a newly emerging generation, in some cases bypassing the generation that is mature, but at risk of becoming obsolete.

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

5.1.4a Require use of a non-proprietary image file header label, or

5.1.4b Require the system developer to provide a bridge to a non-proprietary image file header label, or

5.1.4c Require the system developer to supply a detailed definition of image file header label structure

5.1.5 Error Detection and Correction. The ability to predict the point at which optical media is no longer readable is critical so that media recopying can take place. A county officer must:

5.1.5a Specify that the SCSI (Small Computer System Interface - the primary communications interface used in optical systems) command "Write and Verify" is used when writing data to optical media.

5.1.5b Acquire a utility program that monitors the amount of disk space used to relocate data sectors as errors are detected, and

5.1.5c Ensure through systems operations procedures that current readability is maintained through periodic copying when the relocation table reaches 70% capacity.

5.2 County officers must protect **the quality of digital images and data captured and stored by an optical imaging and data storage system**, by providing for:

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

5.2.1a Ensure that the optical system receives periodic maintenance,

5.2.1b Ensure that the optical drives are recalibrated annually or more frequently based upon an "hours in use" formula,

5.2.1c Ensure that quality control evaluation of each scanned image and related index data is performed prior to writing image data to optical media,

5.2.1d Evaluate the scanner quality based on standard procedures recommended in ANSI/AIIM MS44-1988, Recommended Practice for Quality Control of Image Scanners (ANSI- American National Standards Institute). ANSI is composed of representatives from industry, technical societies, consumer organizations and government agencies. AIIM-Association for Information and Image Management (formerly National Micrographics Association - NMA).

5.2.2 Scanning Density. Scanning density is vital to ensure image legibility. A county officer must:

5.2.2a Employ a scanning density of 200 dots per inch (dpi) for office documents that contain no type fonts smaller than six (6) point,

5.2.2b Employ a higher scanning density (300 dpi or 600 dpi) as needed for engineering drawings, maps, and documents with type fonts smaller than six (6) point or significant background detail, and

5.2.2c Validate the selected scanning density with actual document tests.

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

5.2.3a Verify scanner capability and hardware modification requirements by conducting a test of selected documents.

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

5.2.4a Restrict the use of the gray scale to continuous tone photographs except in those instances where the use of the gray scale promotes readability of text documents.

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

5.2.5a Select sample documents based upon levels of legibility (poor to excellent), organize a panel within the office to establish consensus on what settings produce the "best" image for different categories of documents, and use the settings as the operational criteria for acceptable image quality.

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

5.2.6a Require that digital imaging and data storage systems support the prevailing CCITT standards, but

5.2.6b If a proprietary compression technique is unavoidable, require the vendor to specify compression/decompression algorithms that ensure that no information is "lost" during the transmission.

5.3 County officers must provide for the **continuing functionality of system components**, over time by:

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

5.3.1a Require an open systems architecture for new optical media applications, or

5.3.1b Require vendors to provide a bridge to systems with non-proprietary configurations.

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

5.3.2a Require system upgrades or new systems to provide backward compatibility to the existing system, or

5.3.2b When necessary, require vendors to guarantee conversion of 100 percent of extant image and index data to the new system if such a system cannot provide hardware compatibility.

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

5.3.3a Require system manufacturers and integrators to provide complete documentation about the specific hardware and software SCSI interface used.

5.3.4 Location of Index Database. To ensure that the index information will not be lost, a county officer must:

5.3.4a For processing purposes, store index data on the system's mass storage device (i.e., hard drive), or

5.3.4b For fail-safe indexing, write index data for each optical disk at multiple locations on that disk.

5.3.5 Technical Documentation. To ensure that all technical information will be available, a county officer must:

5.3.5a Require delivery of a complete set of documentation (including source code, object code, and maintenance documentation) to the organization responsible for operation of an optical media application system, and

5.3.5b Document all aspects of the design and use, including administrative procedures for digital imaging, retrieval, and storage; technical system specifications; problems encountered over time; and measures taken to address them, including hardware and software modifications.

5.4 County officers must provide for **the stability of optical media**, by:

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

5.4.1a Require the use of WORM technology for records of long-term legal, financial or archival research value, and

5.4.1b Ensure that read/write privileges are carefully controlled and that an audit trail of rewrites is maintained when rewritable technology is used.

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

5.4.2a Use polycarbonate, tempered glass or aluminum substrates.

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

5.4.3a When rapid access or physical control of numerous optical disks is required, or

5.4.3b When a large volume of records is to be stored, or

5.4.3c When multiple users or networking to

various offices may dictate its use.

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

5.4.4a Require the acquisition and use of optical media with a pre-write shelf life of at least five years, and

5.4.4b Require the use of optical media with a minimum of post-write life of twenty years based upon accelerated aging tests that apply to specific locations of the media surface.

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

5.4.5a Store optical media in areas with stable room temperatures (65 to 75 degrees Fahrenheit) where the relative humidity does not exceed 50 percent and does not fall below 30 percent.

5.4.5b Not locate optical systems near areas of electromagnetic radiation, such as transformers, or areas of high radio frequency radiation.

5.4.5c Periodically clean optical media to remove dust and other particulates (e.g., fingerprints if media are handled).

For additional information, contact:

Pennsylvania Historical and Museum Commission
Division of Archival and Records Management Services
350 North Street
Harrisburg, PA 17120-0090
(717) 783-9874, (717) 787-3913 or (717) 783-5796

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

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

SECTION 2:
RECORDS RETENTION
AND DISPOSITION
SCHEDULES

RECORDS RETENTION AND DISPOSITION SCHEDULES

Scope

This section applies to County Commissioners; County Councils; County Executives; Controllers; County Auditors; Clerks of Courts, and Clerks of the Criminal Division in home rule counties; Coroners; District Attorneys; Jury Commissioners; Prothonotaries, and Clerks of the Civil Division in home rule counties; Recorders of Deeds; Registers of Wills and Clerks of the Orphans' Court; Sheriffs; Full-Time County Health Departments; Treasurers and related Administrative Officers, Authorities, Boards and Commissions.

Disposition Procedures And Other Retention Requirements

The provisions found in Section 1 relating to disposition procedures, microfilm standards, audit and other legal requirements, optical imaging policy and guidelines, the standards and procedures for electronic records, and the retention and disposition of electronic mail (e-mail), must also be consulted and adhered to when disposing of records covered under this section.

Officers should consult with the State Archives when disposing of county records not covered in Section 2.

ADMINISTRATIVE AND LEGAL RECORDS

AL-1 Administrative And Subject Files

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

(1) Records that summarize the origin and administration of major county policies and programs. **Retain** permanently for administrative and historical purposes.

(2) Routine correspondence and program files and housekeeping records. **Retain** as long as of administrative value.

AL-2 Agendas

Includes agendas for meetings of commissioners, boards, agencies, and committees.

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

AL-3 Bonds, Performance And Security

Includes bonds of certain elected officials and security bonds for employees handling large sums of money. Also includes bonds posted by contractors.

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

AL-4 Bridge Proceedings

Includes construction, inspection and maintenance records documenting the history of county bridges.

Retain permanently for administrative, legal and historical purposes.

AL-5 Contract Files

Consists of advertisements; instructions to bidders; specifications; bids and proposals; bid summaries and tabulation sheets; signed original contracts, leases or agreements; and supporting workpapers. Relates to construction of county buildings and public works projects and other county activities.

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

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

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

(2) Contracts and Agreements

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

AL-6 County Disposal Certification Request Forms/Logs

Includes disposal forms and logs submitted to the Pennsylvania Historical and Museum Commission in compliance with the County Records Act.

Retain permanently for administrative, legal and historical purposes.

AL-7 County Obligations

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

(1) Bonds and Coupons

Retain 6 years after cancellation.

(2) Bond Ledgers

Retain permanently for administrative, legal and historical purposes.

(3) Cancelled Notes

Retain 6 years.

AL-8 Deeds To County-Owned Property

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

Retain permanently for administrative, legal and historical purposes.

AL-9 Disaster Plans For County Facilities

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

Retain until superseded or obsolete.

AL-10 Easements

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

Retain permanently for administrative, legal and historical purposes.

AL-11 Hazardous Substance Survey Forms

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

Retain 30 years. If used as health and exposure record for employee involved in a specific incident, **retain** 30 years after termination of employment. (See **Personnel Records** found in Section 2, Employee Medical Records)

AL-12 Insurance Claims And Policies

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

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

AL-13 Liquid Fuels Tax Records

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

Retain 7 years.

AL-14 Master Property And Equipment/Fixed Assets Inventories

Listing of all county-owned equipment and physical property. Generally includes inventories of vehicles showing vehicle number, year, model, date purchased, vendor and cost.

Descriptions of other equipment include quantity, description, make, model number, serial number, date purchased, unit cost, invoice number, vendor and signature of responsible custodian. May also include inventory of fixed assets.

Retain property and equipment inventories 5 years after superseded or obsolete. **Retain** fixed assets inventories permanently for administrative and historical purposes.

AL-15 Material Safety Data Sheets

Includes information supplied by manufacturers on all hazardous substances in particular products used in the workplace. Indicates product identification; ingredients; fire, explosion and reactivity data; environmental and precautionary information; health hazard data; and suggested first aid. Used to comply with the U.S. Department of Labor, Occupational Health and Safety Administration Regulations.

Retain 30 years. If used as health and exposure record for employee involved in a specific incident, **retain** 30 years after termination of employment. (See **Personnel Records** found in Section 2, Employee Medical Records)

AL-16 Minutes Of Board Of County Commissioners/County Council

Record of the Board of County Commissioners/County Council meeting including date, names of members present and absent, issues discussed, motions, resolutions, reports and actions taken. Relates to contracts and bids, appropriations, budgets, appointments, taxation, personnel transactions, audits, bonds, sale or lease of land, and other administrative activities requiring approval of the commissioners or council members.

(1) Official Minutes

Retain permanently for administrative, legal and historical purposes.

(2) Recordings of Public Meetings

Retain recordings of public meetings used in the preparation of the official minutes until the official minutes are approved. **Retain** recordings of public meetings made for other purposes as long as of administrative value.

AL-17 Minutes Of Other County Boards And Commissions

Includes records of meetings of other boards and commissions indicating date, names of members present and absent, issues discussed, motions, reports and actions taken.

(1) Official Minutes

Retain permanently for administrative, legal and historical purposes.

(2) Recordings of Public Meetings

Retain recordings of public meetings used in the preparation of the official minutes until the official minutes are approved. **Retain** recordings of public meetings made for other purposes as long as of administrative value.

AL-18 Orders Issued By County Commissioners/County Council

Includes Executive Orders issued by County Commissioners/Council containing directives, policies and procedures for implementation in county government.

Retain permanently for administrative, legal and historical purposes.

AL-19 Photographs

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

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

AL-20 Press Releases

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

Retain as long as of administrative value.

AL-21 Proclamations And Letters Of Commendation

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

Retain permanently for administrative and historical purposes.

AL-22 Public Hearing Notices And Proofs Of Publication

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

Retain 10 years.

AL-23 Resolutions And Ordinances

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

Retain permanently for administrative, legal and historical purposes.

AL-24 Sales And Use Tax Exemption Certificates

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

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

AL-25 Tax Claim Deeds

Consists of deeds for property transferred to the County Commissioners/County Council as a result of sales for delinquent taxes.

Retain permanently for administrative, legal and historical purposes.

AL-26 Grant Administration Records

Includes fiscal and program records used to administer grants from all funding sources.

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

AL-27 Recycling Program Records

Retain 10 years.

AL-28 Right to Know Requests

Requests for records made pursuant to open records legislation. Includes written request, information submitted with the request, related communications and response.

Retain 2 years.

AGING RECORDS

AG-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

AG-2 Client Case Files

Consists of client background information and records regarding services performed, social history, service plans, intake/termination forms, client financial information and progress notes.

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

AG-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Agency on Aging.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

AG-4 Minutes Of Agency On Aging Advisory Board

Record of Advisory Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

AG-5 Personnel Records

Generally includes individual's application for employment, employee benefit information, disciplinary records, work/salary history summary, performance appraisals, etc.

See **Personnel Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

AG-6 Providers' Files

Includes invoices from providers of aging services to the county agency. May also contain contracts, budget requests and related correspondence.

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

**AGRICULTURE CONSERVATION EASEMENT PURCHASE PROGRAM
RECORDS**

AE-1 Administrative and Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

AE-2 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Farmland Preservation Office.

See **Financial Records, Payroll Records and Purchasing Records** found in Section 2 for retention guidance.

AE-3 Easement Records

Includes application, program guidelines, ranking sheet, appraisal report, offer letter, survey, title insurance commitment with all exceptions, Deed of Merger, Subordination Agreements or Satisfaction piece as necessary, Agreement of Sale with the following Exhibits:

- Exhibit A – Legal Description
- Exhibit B – Statement of Costs
- Exhibit C – Recorded Deed of Easement with Conservation Plan Agreement
- Exhibit D – Contractor Integrity Provisions
- Exhibit E – Nondiscrimination/Sexual Harassment Clause

Retain permanently for administrative, legal and historical purposes.

AE-4 Grant Records

Consists of grant application records, work papers, reports and other supporting material used to manage municipal grants.

Comply with retention requirements promulgated by the appropriate funding agency.

AE-5 Minutes of the Agriculture Preserve Board

Record of the Agriculture Preserve Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

AE-6 Monitoring Reports

Includes monitoring reports and related correspondence.

Retain official inspection report permanently for administrative, legal and historical purposes. **Retain** all other records as long as of administrative value.

AE-7 Photographs

Photographs that document changes to property and structures.

Retain as long as of administrative and legal value; then **contact** State Archives regarding historical value

AE-8 Supporting Documentation – Administrative

Includes cover letter, signed Summary Report, maps including Topographic map, Location map, Tax map and labeled soils map with soils mapping units, Soils Report Form C, status sheet of higher ranked applicants, adjacent landowner notification letter and list, conservation plan including nutrient management plan, review sheets and related correspondence.

Retain as long as of administrative value.

AE-9 Supporting Documentation-Financial

Includes financial and post settlement records, W-9 forms, percentage of ownership letters, county certification of available funds and other financial records.

Retain as long as of administrative value.

ARTS COUNCIL RECORDS

AC-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

AC-2 Artist Files

Consists of artists' resumes and biographies, newspaper articles, slides or photos of artists' work, etc. Used for research and reference purposes.

Retain as long as of administrative value.

AC-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Arts Council.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

AVIATION RECORDS

AV-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

AV-2 Airport Master Plans

Includes documentation and drawings related to future improvements to the airport. Plans are evaluated by Federal and State transportation agencies in order to determine future financial needs.

Retain permanently for administrative and historical purposes.

AV-3 Airport Operations Manuals

Designed to provide information on facility's procedures, the manual contains plans for emergency services, snow removal, lighting, runway markings and other operational activities.

Retain until superseded or obsolete.

AV-4 Construction Grant Files

Includes grant application records, workpapers, progress/status reports and other supporting documents used to manage the construction grant project.

Comply with retention requirements promulgated by the appropriate funding agency.

AV-5 Fire Department Radio Logs

Daily record maintained to document activity of the Aviation Fire Department showing date, time, nature of incident and action taken.

Retain 3 years after last entry.

AV-6 First Aid And Ambulance Reports

Kept by medical personnel, includes patient's name, address and medical background; treatment provided or action taken; and signature of person administering treatment.

Retain 7 years.

AV-7 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Airport Authority.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

AV-8 Inspection Reports

Prepared by State and Federal inspectors, the report contains comments on facilities, runways, approaches, lighting, emergency services and safety features.

Retain 5 years.

AV-9 Manager's Daily Logs/Inspections

Consists of daily entries relating to airport activities, condition of runways, maintenance needs and emergency situations.

Retain 5 years.

AV-10 Minutes Of The Airport Authority

Record of the Airport Authority Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

AV-11 Notams (Notices To Airmen)

Information regarding weather and field conditions prepared for pilots and field maintenance staff.

Retain 1 year.

AV-12 Operating Licenses/Certificates

Consists of records granting authority to operate the aviation facility and equipment such as elevators and escalators.

Annual or short term - **Retain** 3 years after expiration.

Continuing - **Retain** until revoked or suspended.

CHILDREN AND YOUTH SERVICES RECORDS

CY-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

CY-2 Adoption Records-Finalized

Includes birth records, baptismal certificates, legal documents pertaining to the termination of parental rights, evidence of legal consummation of adoption, etc.

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

CY-3 Adoption Records-Pending

Contains records pertaining to families that have applied to adopt a child but have not been evaluated, or families that have been evaluated and are waiting for placement of a child.

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

CY-4 Client Case Files-General Protective Services

Includes family service plan; placement, educational, medical/psychological, financial and legal records; and correspondence.

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

CY-5 Client Case Files, General Protective Services-Child Abuse

Consists of family service plan; placement, educational, medical/psychological, financial and legal records; and correspondence. Also includes police reports, State forms, medical report, and report to State for status determination.

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

CY-6 Closed Intake Files

Contains record of referral and documentation of actions taken with the family.

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

CY-7 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Children and Youth Services Department.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate funding agency.

CY-8 Foster Family Records

Contains application, foster home studies, annual re-evaluation, list of children cared for, and correspondence.

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

CY-9 Minutes Of The Board Of Children And Youth Services

Record of the Children and Youth Services Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

CY-10 Personnel Records

Generally includes individual's application for employment, employee benefit information, disciplinary records, work/salary history summary, performance appraisals, etc.

See **Personnel Records** found in Section 2 for retention guidance. Where applicable **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

CY-11 Providers' Files

Includes invoices from providers of children and youth services to the county agency. May also contain contracts, budget requests and related correspondence.

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

CONSERVATION DISTRICT RECORDS

CD-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

CD-2 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Conservation District.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

CD-3 Grant Records

Consists of grant application records, workpapers, reports and other supporting material used to manage Conservation District grants.

Comply with retention requirements promulgated by the appropriate funding agency.

CD-4 Land Use Records

Contains erosion and sediment control plans, farm conservation plans, soil surveys, related technical manuals and maps.

Retain as long as of administrative value.

CD-5 Minutes Of The Conservation District Board

Record of the Conservation District Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

CONSUMER AFFAIRS RECORDS

CA-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

CA-2 Consumer Complaint Records

Consists of correspondence, completed complaint forms, supporting papers, and record of action taken relating to complaints received from consumers about local county businesses.

Retain 7 years after resolution of complaints.

CA-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Consumer Affairs Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

CONVENTION AND TOURIST BUREAU RECORDS

CT-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

CT-2 Camera-Ready Art Files

Consists of masters used to produce brochures, pamphlets, and maps.

Retain as long as of administrative value.

CT-3 County Attraction Files

Contains brochures, maps, newspaper articles, magazine articles and correspondence relating to various attractions within the county.

Retain as long as of administrative value.

CT-4 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Convention and Tourist Bureau.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

CT-5 Press Releases

Usually consists of an announcement containing information given in advance to a newspaper for publication at a future date.

Retain as long as of administrative value.

COUNTY HOME RECORDS

CH-1 Activities Records

Contains information relating to patient participation in social activities, lists of volunteers, and program and resource materials.

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

CH-2 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

CH-3 Admission, Discharge And Death Records

Summary information usually recorded in registers or card files relating to resident's admission, discharge or death. Generally includes individual's social security number, name, address, age; dates of birth, discharge or death; diagnosis; name of attending physician and funeral home.

Retain permanently for administrative and historical purposes.

CH-4 Client Case Files

Usually includes admission information; personal or social history; financial data regarding patient's assets, pension, social security and medicare eligibility; personal bills; list of relatives and patient's rights disclosure forms.

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

CH-5 Dietary And Nutrition Records

Generally consists of listing of patient food requirements, nutrition plans and statistics regarding patient meals.

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

CH-6 Fiscal Records

Includes standard accounting and financial records relating to the funds of the County Home.

See **Financial Records**, **Payroll Records**, and **Purchasing Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

CH-7 Hospital-Medical Case Files

Complete medical history of patient from time of admission to time of discharge or death including medical charts, doctors' orders, lab reports and nurses' notes.

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

CH-8 Laboratory Records

Consists of requests for and results of lab work, as well as the summary reports of number and type of tests performed.

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

CH-9 Minutes Of Governing Board

Record of the County Home Governing Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

CH-10 Personnel Records

Generally includes individual's application for employment, employee benefit information, disciplinary records, work/salary history summary, performance appraisals, etc.

See **Personnel Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

CH-11 Pharmacy Records

Consists of doctors' orders, billings, and prescriptions for drugs.

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

CH-12 Physical Therapy Records

Relates to any physical, speech or occupational therapy given to patients. Includes doctors' orders authorizing treatment and patient assessment reports.

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

CH-13 Staff Committee Minutes

Record of staff committee meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken. Committees include Infection Control, Fire Safety, Pharmacy, Medical Staff, departmental meetings relating to the budget process, etc.

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

DRUG AND ALCOHOL RECORDS

DG-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

DG-2 Client Case Files

Contains drug/alcohol abuse history, demographic data, referral information, previous treatment history, insurance coverage information, income and criminal history.

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

DG-3 Client Statistical Profiles

Consists of aggregate statistical client population data not specific to individual clients.

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

DG-4 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Drug and Alcohol Agency.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

DG-5 Minutes Of The Drug And Alcohol Planning Council/Executive Commission

Record of the Drug and Alcohol Planning Council/Executive Commission meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

DG-6 Personnel Records

Generally includes individual's application for employment, employee benefit information, disciplinary records, work/salary history summary, performance appraisals, etc.

See **Personnel Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

DG-7 Providers' Files

Includes invoices from providers of drug and alcohol services to the county agency. May also contain contracts, budget requests and related correspondence.

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

ECONOMIC DEVELOPMENT AND REDEVELOPMENT RECORDS

ED-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

ED-2 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Economic Development and Redevelopment Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate funding agency.

ED-3 Grant Applications

Consists of pre-applications and applications for Federal and State grant funds or loan funds on behalf of public or private entities for use in improving and preserving existing tax base by starting a new business, creating jobs, enhancing downtown business districts, or for other economic development purposes.

Comply with retention requirements promulgated by the appropriate funding agency.

ED-4 Redevelopment Project Files

Pertains to county acquisition of property by purchase or condemnation for destruction or rehabilitation. May include acquisition documents, relocation and demolition records, improvement specifications, disposition records and cost records.

Comply with retention requirements promulgated by the appropriate funding agency.

ED-5 Rehabilitation Project Files

Contains records related to rehabilitation of residential structures by or for homeowners. May include loan application, improvement specifications, liens, related correspondence and request for payment to contractors.

Comply with retention requirements promulgated by the appropriate funding agency.

ELECTION RECORDS

ADDITIONAL RETENTION REQUIREMENTS

Currently, Federal election records (including all records and papers pertaining to any application, registration or other act requisite to voting) must be retained 22 months from the date of any general, special, or primary election for federal office under the Civil Rights Act of 1960, codified at Title 42, U.S. Code, Sections 1974 through 1974e inclusive.

RECORDS

EL-1 Absentee Ballot Records

Includes absentee ballots and all related lists, applications, envelopes and files pertaining thereto. Application usually shows personal identification information, reason for request, and elector's signature.

Retain 2 years. (25 P.S. § 3146.9)

EL-2 Ballot Box Documents - Miscellaneous

Consists of all official ballots, the contents of ballot boxes, tally papers, numbered list of voters and election officers' oaths placed in ballot box at polling place. (See also EL-24.)

Retain 4 months, unless notified of extension of retention by the county's District Attorney or a judge of a court of record, due to pending prosecution or litigation. (25 P.S. §§ 2649 and 3065(a)). For one year, the minority inspector is required to retain one set of tally papers, one voter list, and one set of election-officer-oaths. (25 P.S. § 3065(b)).

EL-3 Ballot Preparation Workpapers And Candidate Lists

Includes papers and lists of local candidates' names used to design ballot layout at the county level, based upon ballot position lottery for the primary election, and the primary election results and substitute nominations for the November election.

Retain 11 months. (25 P.S. § 2649).

EL-4 Campaign Expense Reports And Statements Filed By Candidates And Political Committees

Expense report shows name and address of candidate, committee, individual or lobbyist; office sought; summary of receipts and expenditures; signature of person swearing to accuracy of report; summary of contributions and receipts; itemized lists of contributions, receipts and expenditures; unpaid debts and obligations; and in-kind contributions. Statement includes name and address of candidate, committee or lobbyist; office sought; and certification of compliance with the Election Code.

Retain 5 years from date of filing. (25 P.S. § 3259(4)).

EL-5 Candidate Withdrawal Notices

Notification from candidates of their desire to withdraw from an election. Includes date, office, party, election date and candidate's signature.

Retain 11 months (Counties). (25 P.S. §§ 2649 and 2938).

EL-6 Candidates' Affidavits

Includes candidate's name and address, office sought, affidavit of eligibility, loyalty oath and ethics affidavit. May be part of nomination petition or separate form filed with petition.

Retain 11 months (Counties). (25 P.S. §§ 2649 and 2870).

EL-7 Challenge Affidavits

Consists of challenge affidavit of elector declaring eligibility to vote and supporting affidavit by another qualified elector of the district. Contains names, addresses, date and signatures of elector and supporting elector. Also signed by judge of elections.

Retain 11 months. (25 P.S. §§ 2649 and 3050(d)).

EL-8 County Board Canvass Workpapers

Preliminary tally compiled by the county board of elections showing candidates' names and vote totals.

Retain 11 months. (25 P.S. §§ 2649 and 3068).

EL-9 Election Certification Affidavits

Sent after the certification of the returns of any primary or election to the Department of State, Bureau of Elections. The form includes name of county, date, certification of official returns, signatures of county board and clerk of elections, and vote totals for each candidate.

Retain 11 months. (Counties). (25 P.S. §§ 2649 and 3158).

EL-10 Election Documents - Miscellaneous

Contains records pertaining to each election such as proof of publication forms and acceptance statements.

Retain 11 months. (Counties). (25 P.S. § 2649).

EL-11 Election Officers' Oaths

Consists of sworn statements signed by election officers including judges, inspectors, clerks, machine inspectors and overseers. Excludes oaths contained in ballot box.

Retain 11 months. (25 P.S. §§ 2649 and 2676 - 2680).

EL-12 Election Officials Index

Listing of district election board members showing names and terms of office.

Retain 11 months. (25 P.S. § 2649).

EL-13 Election Returns

Compiled by county board for general, municipal and primary elections. Returns generally indicate district number, office, candidates' names and party affiliations, votes received, certification of computation attesting to authenticity of vote, signatures of election officials and date. Also may contain results relating to special referendums and questions.

Retain permanently for administrative and historical purposes. (25 P.S. § 3158).

EL-14 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Elections Office.

See Financial Records, Payroll Records, and Purchasing Records found in Section 2 for retention guidance.

EL-15 General Return Sheets

Prepared by district board, return shows number of votes cast for each candidate; total number of ballots received and cast, declared void, spoiled, cancelled and blank; signatures of election officers and clerks; and certification by overseers if applicable.

Retain 11 months. (25 P.S. §§ 2649 and 3154).

EL-16 Legal Memoranda

Includes legal memoranda respecting a variety of legal issues and matters relating to county elections.

Retain 11 months. (25 P.S. § 2649).

EL-17 Minutes Of The Board Of Elections

Record of the Board of Elections meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

EL-18 Local Option Petitions

Petition regarding local option question to be placed on the ballot. Shows issue or question and electors' signatures and addresses.

Retain 2 years. (25 P.S. § 2943).

EL-19 Nomination Certificates

Used to fill vacancies caused by death or withdrawal of candidate, certificate shows office and district, cause of vacancy, applicable rule, names of committee or caucus members as well as new candidate's name, residence and occupation. Signed by presiding officer and secretary of party committee or members of political body's committee.

Retain 2 years. (25 P.S. §§ 2943 and 2939(a)).

EL-20 Nomination Papers

Relating to nomination of independent candidates, paper usually indicates name of political body; county and electoral district; candidate's name, occupation, residence as well as office and district for which nominated; names of committee members authorized to fill vacancies; electors' signatures, addresses, occupations and date of signing; circulator's affidavit; and candidate's affidavit, loyalty oath and ethics affidavit.

Retain 2 years. (25 P.S. §§ 2943 and 2911(a)).

EL-21 Nomination Petitions

Usually shows electoral district and political party; candidate's name, address, and profession; election date and office sought; signatures, addresses and occupations of qualified electors and date of signing; circulator's affidavit; and sometimes candidate's affidavit, loyalty oath and ethics affidavit.

Retain 2 years. (25 P.S. §§ 2943 and 2867).

EL-22 Notices Of Nominations To Be Made

Used to assist county board in ascertaining offices to be filled, notices from municipalities and the Secretary of the Commonwealth; usually indicate name of office, number of candidates to be elected and number of years the officer shall serve.

Retain 11 months. (25 P.S. §§ 2649, 2864 and 2865).

EL-23 Numbered Lists Of Voters

Numerical list of voters used to determine the number who cast ballots in election. Excludes lists contained in ballot box.

Retain 11 months. (25 P.S. §§ 2649 and 3050(a.3)).

EL-24 Official Ballots

Consists of paper ballots and ballot labels used with voting machines and electronic voting equipment. Includes the following types of ballots:

- (1) Electronic and punch card write-in ballots.
- (2) Official ballot cards-punch card system.
- (3) Mechanical voting machine write-in paper rolls.
- (4) Spoiled and unused ballot cards-punch card system.
- (5) Spoiled and unused paper ballots.

Retain 4 months for all official ballots and the contents of ballot boxes, unless notified by the county's district attorney or a judge of a court of record that an extension of retention is required due to pending prosecution or litigation. (25 P.S. §§ 2649, 3031.13(a), 3031.16(a), 3063(a) and 3065(a)).

EL-25 Primary Ballot Position Lottery Workpapers

Used to draw lots for ballot position for primary elections. Papers relate to local candidates and usually include name, party and office sought.

Retain 11 months. (25 P.S. §§ 2649 and 2875).

EL-26 Proclamations Of Elections

Issued by county board. Usually lists date of election, offices and candidates, special referendums or questions, and locations of polling places.

Retain 11 months. (25 P.S. §§ 2649 and 3041).

EL-27 Records Of Assisted Voters

Compiled at polling place. Record indicates municipality, ward and district; date of election; name of voter and reason for assistance; name of person furnishing assistance; and signature of judge of election.

Retain 11 months. (25 P.S. §§ 2649 and 3058).

EL-28 Secretary Of The Commonwealth Ballot Certifications

Includes certifications of Statewide candidates' names to be printed on ballots for the primary and general elections. Sent to county boards by the Secretary and based upon a lottery conducted in Harrisburg.

Retain 11 months for counties. (25 P.S. §§ 2649 and 2876).

EL-29 Specimen Ballots, Specimen Ballot Labels And/Or Voting Machine Diagrams

Contains sample ballots and voting machine diagrams made available to candidates for campaigning purposes and to electors at polling places.

Retain 11 months. (25 P.S. §§ 2649 and 2968).

EL-30 Statements Of Financial Interests

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

Retain 5 years. (65 Pa.C.S.A. § 1107(9)).

EL-31 Tally Papers

Prepared by district board, consists of tally of votes cast for each candidate. Excludes papers contained in ballot box.

Retain 11 months. (25 P.S. §§ 2649 and 3062).

EL-32 Voters' Certificates/Voting Check Lists

A few counties continue to use a separate Voter's Certificate, which is completed by a voter at the polling place. (However, most county boards of elections have incorporated the Voter's Certificate into the District Register (Poll Book), which must be kept for 5 years and is also addressed at Voter Registration Records entry # VR-8.) The Voters' Certificate, at 25 P.S. § 3043, is a form usually indicating at least the voter's name, address, signature and approval of an election officer. The Voters' Certificate is required by 25 P.S. § 3052 to be inserted into a binder known as the "Voting Check List," which shall constitute the official list of electors voting at each primary and election. 25 P.S. § 3050(a.3) requires the voter's signature on the Voter's Certificate to be compared with the voter's signature in the District Register to confirm eligibility to vote. With the passage of Act 3 of 2002, the District Register is required to be retained for 5 years at 25 Pa.C.S. § 1405(a). Because the Voter's Certificate is signed by the voter and is used in conjunction with the District Register, it should be retained for 5 years as well.

Retain 5 years. (25 P.S. §§ 3043, 3050(a) and (a.3), 3052 and 25 Pa.C.S. § 1405(a)).

EL-33 Voting Machine Lists And Certifications

Consists of inventory lists showing number of machines, storage locations and registration numbers. Certification form relates to preparation of machines for election and includes custodian's certification that counter is set at zero, that each protective counter has been recorded, and that each machine has been sealed and the seal number recorded. Also shows election, date, and signatures of custodian and deputies.

Retain 11 months. (25 P.S. §§ 2649 and 3011(d)).

EL-34 Voting Machine Proof Sheets

Relates to voting machines equipped to print paper proof sheets. Printed by district board before and after election and used to check vote totals on each machine.

Retain 11 months. (25 P.S. §§ 2649 and 3067(a)).

EMERGENCY MANAGEMENT AND COMMUNICATIONS RECORDS

EC-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

EC-2 Audio Tapes And Logs

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

Retain recordings 30 days unless being held as evidence. **Retain** logs 3 years after last entry. (Records custodians may wish to consult their legal counsel before these records are disposed of regarding any potential legal value. Incidents involving minors, casualties, serious injury, homicides, fires or any matter under investigation or unsolved law enforcement cases may necessitate retention of data relating to these incidents longer for ongoing legal needs.)

EC-3 Basic Comprehensive Emergency Management Plans And Records

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

Retain 3 years after superseded.

EC-4 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Emergency Management Department.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

EC-5 Grant Records

Consists of grant application records, workpapers, reports and other supporting material used to manage disaster, administrative and radiation emergency response grants.

Comply with retention requirements promulgated by the appropriate funding agency.

EC-6 Incident Cards/Reports

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

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

EC-7 Radio Dispatcher's Logs

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

Retain 3 years after last entry.

EC-8 Radio Repair Records

Consists of repair or maintenance records of emergency radio communications equipment usually showing date, problem and work done.

Retain 2 years.

EC-9 Radiological Training Records And Lists

Relates to training and certification of monitors, response team members and radiological officers. May include training summary, attendance report and other relevant materials. Copy of list sent to Pennsylvania Emergency Management Agency shows county, names of certified personnel and dates of certification.

Retain training records 4 years after expiration of certification. **Retain** lists until superseded or obsolete.

EC-10 Radiological User Permits

Issued by the Pennsylvania Emergency Management Agency, permit indicates county and names of personnel certified to use radiation training source sets.

Retain 4 years after expiration.

EC-11 Rain Gauge Records

Relates to location and maintenance of rain gauges on streams and rivers. Record usually shows date, gauge location and other identifying information.

Retain until superseded or obsolete.

EC-12 Rainfall Measurement Records

Includes documentation showing date, gauge location and stream or river levels.

Retain as long as of administrative value.

EMERGENCY MEDICAL SERVICES RECORDS

ES-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

ES-2 Advanced Life Support Systems Policies, Procedures And Protocols

Includes records detailing policies, procedures, and protocols to be followed by emergency personnel when performing pre-hospital treatment.

Retain 2 years after superseded.

ES-3 Comprehensive Emergency Medical Services Plans

Consists of description of basic programs and services. Addresses issues of personnel development and deployment as well as allocation of resources.

Retain 3 years after superseded.

ES-4 Emergency Medical Treatment Records (Trip Reports)

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

Retain 7 years.

ES-5 Equipment Inventories

List of equipment used by emergency medical services personnel in performing their duties usually indicating quantity, description and date purchased.

Retain until superseded or obsolete.

ES-6 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Emergency Medical Services Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

ES-7 Grant Records

Consists of grant application records, workpapers, reports and other supporting material used to manage emergency medical services grants.

Comply with retention requirements promulgated by the appropriate funding agency.

ES-8 Minutes Of The Emergency Medical Services Council

Record of the Emergency Medical Services Council meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

ES-9 Quality Assurance Reviews

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

Retain 10 years.

ES-10 Training Program Records

Usually contains course outlines, instructor data, sample course materials, skills evaluation and copies of tests.

Retain until superseded or obsolete.

ES-11 Training Records

Includes official records relating to training and certification of emergency medical treatment personnel. Generally contains application, training and educational summary, test results, interview notes, attendance report, and any other relevant materials.

Retain 3 years after expiration of certification.

ENGINEERING AND PUBLIC WORKS RECORDS

EP-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

EP-2 Construction Inspection Reports

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

Retain 12 years after acceptance of project.

EP-3 Construction Plans And Specifications

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

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

EP-4 Construction Testing Reports

Consists of preliminary site tests such as core drillings and rock profiles as well as material stress tests. Report serves as evidence of structural integrity of building.

Retain until structure is demolished. If structure is no longer county property/responsibility; **transfer** to new owner if appropriate.

EP-5 Engineering Drawings

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

Retain permanently for administrative and historical purposes.

EP-6 Equipment Records

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

Retain for life of equipment.

EP-7 Facility/Building Maintenance Records

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

Structural - **Retain** until structure is reconstructed or is no longer county property/responsibility, **transfer** to new owner if appropriate.

Routine - **Retain** 5 years.

EP-8 Field Survey Notebooks

Includes survey notes recorded by engineers and land surveyors during field projects. Contains entries of land measurement or other survey data recorded during site preparation work.

Retain permanently for administrative and historical purposes.

EP-9 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Engineering and Public Works Department.

See Financial Records, Payroll Records, and Purchasing Records found in Section 2 for retention guidance.

EP-10 Licenses And Permits

Consists of licenses and permits for county facilities, systems and equipment in county buildings.

Annual or short term - **Retain** 3 years after expiration.

Continuing - **Retain** until revoked or suspended.

EP-11 Road And Bridge Books

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

Retain permanently for administrative, legal and historical purposes.

EP-12 Space Allocation And Use Records

Includes records used to manage county office space and facilities in the courthouse and government complex. Shows departmental space usage and future needs.

Retain 5 years.

EP-13 Vector Control Records

Pertains to control of disease-bearing pests and may include logs, spraying records and inspection reports.

Retain 4 years.

FINANCIAL RECORDS

FN-1 Account Distribution Summaries

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

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

Year-end - **Retain** 7 years.

FN-2 Accounts Payable Files

May contain bills, check vouchers, invoices, purchase orders and requisitions, receiving reports and other records of payment for goods and services.

Retain 7 years.

FN-3 Accounts Payable Ledgers

Usually indicates date, department or cost center, invoice and check number, vendor's name, amount and account totals.

Retain 7 years.

FN-4 Accounts Receivable Files and Ledgers

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

Retain 7 years.

FN-5 Annual Audit and Financial Reports

Report submitted annually to the Department of Community and Economic Development covering all assets, liabilities, fund equities, revenues, expenditures, and other financing sources and uses for county funds and accounts.

Retain 5 years.

FN-6 Annual Budgets and Related Records

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

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

FN-7 Annual DCED Budget Reports

Report submitted annually to the Department of Community and Economic Development relating to all assets, liabilities, fund equities, revenues, and expenditures of all budgetary funds.

Retain 5 years.

FN-8 Audit Reports-Official

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

Retain permanently for administrative and historical purposes.

FN-9 Audit Workpapers

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

Retain current plus 3 prior audit cycles.

FN-10 Balance Sheets

Record lists assets and liabilities, and shows the financial condition of the county on the last day of the accounting period.

Retain 7 years.

FN-11 Bank Statements And Reconciliations

Prepared by banks, record indicates date, county's deposits and withdrawals, and account totals.

Retain 3 years.

FN-12 Cancelled Checks

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

Retain 7 years.

FN-13 Check Registers

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

Retain 7 years.

FN-14 Controller's Annual Reports

Report from the County Controller includes a summary of the financial condition of the county. Provides an account of all receipts, expenditures, disbursements, revenues, assets and liabilities.

Retain permanently for administrative and historical purposes.

FN-15 Daily Cash Records

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

Retain 3 years.

FN-16 Deposit Slips

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

Retain 3 years.

FN-17 Depreciation Schedules

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

Retain for life of equipment plus 3 years.

FN-18 District Justices' Reports

Consists of income reports summarizing citations issued, fines collected and amounts transferred to the county.

Retain 3 years.

FN-19 Expense Reports-Employees

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

Retain 7 years.

FN-20 Financial Statements

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

Periodic - **Retain** until final completion of audit.

Certified - **Retain** permanently for administrative and historical purposes.

FN-21 General Ledger Analyses

Includes summary of the receipts and disbursements of the account transactions posted in the general ledger.

Retain 7 years.

FN-22 Grant Administration Records

Usually includes grant application indicating project purpose and goals, personnel needs and proposed budget. Also contains project and financial reports, correspondence and other related papers.

Comply with retention requirements promulgated by the appropriate funding agency.

FN-23 Investment Records

Includes records relating to original financial instruments executed to invest county funds showing amount of certificate, term, and rate of interest. May also include supporting papers.

Retain 6 years after cancellation.

FN-24 Pension/Retirement Records

See Payroll Records found in Section 2 for retention guidance.

FN-25 Treasurer's or Controller's Books of Accounts

Contains journals, ledgers, books, cards, sheets, and any other books of account summarizing receipts and disbursements for county funds. Usually shows debit, credit, month-to-date and year-to-date totals, and budget balances.

Retain 7 years.

FN-26 Voucher Files

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

Retain 7 years.

FN-27 Warrants

Usually includes date, name of payee, warrant number, amount and signature of authorizing official.

Retain 7 years.

FN – 28 Hotel Tax Records

Fees collected by county treasurer pursuant to Act 142 of 2000, (Senate Bill 1154).
May include applications, registration forms, exemption statements, monthly reports, certificates of authorization, delinquent tax forms, deposit slips, check stubs, expense reports, and correspondence.

Retain 7 years

FIRE MARSHAL RECORDS

FM-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

FM-2 Fire Reports

Fire Marshal conducts investigation of fire if arson is suspected or death has occurred. Report includes name and address of property owner, names of occupants, estimates of loss, insurance coverage, and detailed remarks relating to contributory factors and cause of fire. May also contain photographs of fire scene.

Retain 15 years after case is closed.

FM-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Fire Marshal.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

FIRE SCHOOL RECORDS

FS-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

FS-2 Equipment And Supply Inventories

Listing of all training materials, equipment and supplies usually indicating quantity, description and date purchased.

Retain until superseded or obsolete.

FS-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Fire School.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

FS-4 Individual Student Records

Contains official records of all fire school students documenting the hours and accomplishments to meet necessary State requirements. Usually includes student profiles, records of courses taken, test scores, competency evaluations, individual skills assessment, registration forms, and general personal information.

Retain 3 years after termination of employment with fire company.

FS-5 Training Program Attendance Rosters

Usually shows student's name, fire company and sessions attended.

Retain 3 years.

FS-6 Training Program Records

Generally includes course outlines, instructor data, sample course materials, skills evaluation and copies of tests.

Retain until superseded or obsolete.

FULL-TIME COUNTY HEALTH DEPARTMENTS

Full-time County Health Departments should contact the Division of Archival and Records Management Services for copies of this Retention and Disposition Schedule at the following address:

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

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

INFORMATION TECHNOLOGY RECORDS

IT -1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

IT -2 Computer Inventory Records

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

Retain 2 years after computer removed from service or is reassigned.

IT -3 Computer Systems Documentation Records

Hardware and software manuals and program coding.

Retain 1 year or until superseded or obsolete.

IT -4 Computer Usage Files and Reports

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

Retain 1 year.

IT-5 Disaster Preparedness and Recovery Plans

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

Retain until superseded or revised.

IT -6 Equipment and Network Usage Documentation

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

Retain 1 year after updated or superseded.

IT -7 Equipment Records

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

Retain until superseded or obsolete.

IT -8 Fiscal Records

Includes standard accounting and financial records relating to the funds of the IT Department.

See Financial Records, Payroll Records, and Purchasing Records found in Section 2 for retention guidance.

IT-9 Help Desk Tickets

Documentation of requests for technical assistance and responses to those requests, as well as information on the use of computer equipment for program delivery, security and other purposes.

Retain 6 years.

IT -10 Input Documents

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

Retain as long as of administrative value.

IT -11 Network Implementation Project Files

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

Retain until superseded.

IT-12 Network and PC Password and Security Identification

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

Retain until updated or superseded.

IT-13 Operating System and Hardware Conversion Plans

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

Retain 1 year after successful conversion.

IT-14 Security Records

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

Retain 1 year

IT-15 System Architecture Documents and Wiring Schemas

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

Retain until superseded or obsolete.

IT-16 System Backup Files

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

Retain until superseded.

JUVENILE DETENTION RECORDS

JD-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

JD-2 Detention Registers/Admission Sheets

Contains summary information about residents such as name, length of stay, hearing date, release date, age, sex and race.

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

JD-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Juvenile Detention Center.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

JD-4 Individual Case Files

Generally includes incident reports, court petitions, personal information sheet, family information sheet, juvenile referral form, admission form, personal property inventory list, release form, final discharge summary and related correspondence.

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

JD-5 Logs

Includes incident report logs, staff logs, daily logs and behavior reports usually showing date, event, persons involved and action taken.

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

JD-6 Medical Records

Pertains to all medical services and examinations performed at the facility and usually filed by name of juvenile in individual case file. Consists of doctors' reports, lab records, and juvenile's medical history.

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

JD-7 Minutes Of The Juvenile Detention Advisory Board

Record of the Juvenile Detention Advisory Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

JD-8 Personnel Records

Generally includes individual's application for employment, employee benefit information, disciplinary records, work/salary history summary, performance appraisals, etc.

See **Personnel Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

LIBRARY RECORDS

LY-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

LY-2 Book And Material Inventories

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

Retain until superseded or obsolete.

LY-3 Book Purchase And Disposal Records

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

Retain 2 years.

LY-4 Fiscal Records

Includes standard accounting and financial records relating to the funds of the library.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

LY-5 Grant Records

Consists of grant application records, workpapers, reports and other supporting material used to manage library grants.

Comply with retention requirements promulgated by the appropriate funding agency.

LY-6 Library Board Rules And Regulations

Includes rules and regulations relating to use of building and collections promulgated by the Library Board.

Retain 5 years after revoked or superseded.

LY-7 Minutes Of The Library Board

Record of the Library Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

LY-8 Patron Registration Files

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

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

LY-9 Records Of Library Use

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

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

LICENSING AND REGISTRATION RECORDS

LR-1 Bingo License Applications And Stubs

Application for license granting permission to conduct bingo games within the county shows name and address of association, location of games, date association was formed, rules and regulations as listed in the Bingo Law, and signatures of applicant and Prothonotary. License stub includes number, name and address of licensee, fee and date paid.

Retain 2 years.

LR-2 Dog Licenses

Indicates owner's name and address, dog's name and physical description, license number, owner's telephone number, date issued and County Treasurer's initials.

Retain 2 years.

LR-3 Fishing Licenses

Shows license number and date; licensee's name, address, date of birth and physical description; and issuing agent's number.

Retain 2 years.

LR-4 Hunting Licenses

Includes license number; hunter's name, address, age, date of birth and physical description; date issued; and signature of County Treasurer.

Retain 2 years.

LR-5 Kennel Licenses And Applications

Application includes kennel name, owner and location; type of construction; number of dogs kept and sold; class of kennel; signature of applicant and date. License shows date, owner's name and address, kennel name, fee and County Treasurer's signature.

Retain 2 years.

LR-6 License Audit Reports

Report from Auditor General containing results of examination of books and papers pertaining to license accounts. Includes statement of account and summary information on licenses received and issued.

Retain 2 years provided account is settled.

LR-7 Monthly Return Of Dog Licenses

Shows date, number and type of licenses issued, fees collected and signature of County Treasurer.

Retain 2 years.

LR-8 Monthly Return Of Fishing Licenses

Form includes date, agent's name and address, number and type of licenses issued, fees collected, signature of County Treasurer, and sold license numbers being reported.

Retain 2 years.

LR-9 Monthly Return Of Hunting Licenses

Indicates date, County Treasurer's name and address, number and type of licenses issued, fees collected, certification, and sold license numbers being reported.

Retain 2 years.

LR-10 Small Games License Applications

Application includes information such as name and address of organization, incorporation date, types of games, and officers' names.

Retain 2 years.

LR-11 Sportsman's Firearm Permits

Permit includes applicant's name, address, physical description and date of birth; issue and expiration dates; name of county; and signatures of licensee and County Treasurer.

Retain 2 years after expiration date.

LR-12 Temporary Certificates Of Boat Registration

Shows applicant's name and address; description of boat including make, year built, length, hull identification number and type of propulsion; and issuing agent's signature and address.

Retain 2 years.

MENTAL HEALTH AND MENTAL RETARDATION RECORDS

MH-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

MH-2 Client Case Files

Contains client background data and records relating to services performed such as psychiatric and psychological evaluations, social history service plans, intake/termination forms, client financial information and progress notes.

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

MH-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Mental Health and Mental Retardation Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

MH-4 Minutes Of Mental Health/Mental Retardation Board

Record of the Mental Health/Mental Retardation Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

MH-5 Personnel Records

Generally includes individual's application for employment, employee benefit information, disciplinary records, work/salary history summary, performance appraisals, etc.

See **Personnel Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

MH-6 Providers' Files

Includes invoices from providers of mental health/mental retardation services to the county agency. May also contain contracts, budget requests and related correspondence.

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

PARKS AND RECREATION RECORDS

PR-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

PR-2 Citations

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

Retain 3 years.

PR-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Parks and Recreation Department.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

PR-4 Grant Records

Consists of grant application records, workpapers, reports and other supporting material used to manage parks and recreation grants.

Comply with retention requirements promulgated by the appropriate funding agency.

PR-5 Incident Reports

Includes reports of accidents, any unusual happenings or infractions of rules occurring within county parks.

Retain 3 years.

PR-6 Minutes Of The Parks And Recreation Board

Record of the Parks and Recreation Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

PR-7 Operation And Maintenance Records

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

Retain 5 years.

PR-8 Park Planning Files

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

Retain permanently for administrative and historical purposes.

PR-9 Park Program Files

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

Retain 2 years.

PR-10 Park Use Records

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

Retain 3 years.

PR-11 Parks And Recreation Board Rules And Regulations

Consists of rules and regulations relating to use of park facilities and equipment promulgated by the Parks and Recreation Board.

Retain 5 years after rules are revoked or superseded.

PR-12 Pool Records

Contains monthly reports indicating operational data, chemicals used, chlorination levels, and other information relating to pool construction and safety personnel. Also contains reports of bacteriological analyses, records of inspections conducted by the Department of Conservation and Natural Resources, notices of violations, service requests, complaints and enforcement actions.

Retain 4 years.

PAYROLL RECORDS

PL-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

PL-2 Cancelled Payroll Checks, Bank Statements And Reconciliations

See **Financial Records** found in Section 2 for retention guidance.

PL-3 Employee Payroll Adjustment Records

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

Retain 4 years.

PL-4 Individual Employee's Earning Record -Terminated Employees

Often kept in card form, salary history includes employee's name and address, social security number, department, position, date of birth, date employed, and salary/earnings history totals posted for the duration of county employment. May also show leave/vacation data. Usually transferred to Individual Pension Files upon termination of employment.

(1) Employees Who Separate With Post-Termination Benefits - **Retain** 3 years after all benefits have been paid.

(2) Employees Who Separate Without Post-Termination Benefits - **Retain** 5 years after termination of employment.

PL-5 Minutes Of The Retirement Board

Record of the Retirement Board meeting including date, names of members present and absent, issues discussed, policies adopted, retirement requests approved or disapproved, and any other actions taken.

Retain permanently for administrative, legal and historical purposes.

PL-6 Minutes Of The Salary Board

Record of the Salary Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

PL-7 Payroll Deduction Authorizations

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

Retain 4 years after canceled or superseded.

PL-8 Payroll Earnings And Deductions Registers

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

Pay period reports - **Retain** 4 years.

Year-to-date annual summary - If payroll data is posted to individual employee's earning record, **retain** 7 years; otherwise **retain** 100 years.

PL-9 Payroll Voucher (Check) Registers

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

Retain 7 years.

PL-10 Pension Files - Individual Employees

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

Retain 3 years after all benefits have been paid.

PL-11 Pension Plans-Annual Summary Records

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

Retain permanently for administrative purposes.

PL-12 Pension Plans

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

Retain 6 years after termination of plan.

PL-13 Quarterly Returns Of Withholding Of Federal Income Tax

Includes reports showing Federal income taxes withheld from county employees' pay by quarter.

Retain 4 years.

PL-14 Quarterly Statements Of State And Local Taxes Withheld

Consists of reports showing state and local taxes withheld from county employees' pay by quarter.

Retain 4 years.

PL-15 Social Security Reports

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

Retain 4 years.

PL-16 Time Cards/Attendance Records

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

Retain 3 years.

PL-17 Unemployment Compensation Records (Contributory Form UC-2/2A/2B And Supporting Records)

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

Retain 4 years after contributions have been paid.

PL-18 Wage And Tax Statements (W-2 Forms)

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

Retain 4 years.

PL-19 Withholding Allowance Certificates (W-4 Forms)

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

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

PL-20 1099 Forms (Employer's Copy of U.S. Information Return for Calendar Year)

Retain 4 years.

PERSONNEL RECORDS

PS-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

PS-2 Administrative Organizational Charts

Charts show organizational breakdowns for County offices and departments.

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

PS-3 Applications For Employment (Not Hired)

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

Retain 2 years.

PS-4 Employee Card Files Or Record Books

Summary information usually includes employee's name, address, date of birth, social security number, job and salary history, benefit information, and termination data.

Retain permanently for administrative and historical purposes.

PS-5 Employee Health Insurance Claim Files

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

Retain 5 years after settlement of claim.

PS-6 Employee Medical Records

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

Retain same length of time as Individual Employee's Personnel Records. However, if employee has been exposed to toxic substances or harmful physical agents in the workplace, **retain** at least 30 years after termination of employment and comply with appropriate Occupational Safety and Health Standards issued by the U.S. Department of Labor (29 CFR Ch. XVII). (See **Administrative and Legal Records** found in Section 2, Hazardous Substance Survey Forms and Material Safety Data Sheets.)

PS-7 Equal Employment Opportunity Records

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

Retain EEO-4 report and related records 3 years. **Retain** case files 4 years after resolution of case.

PS-8 Individual Employee's Personnel Records

Official personnel file may include personnel history card, application for employment, references, resume, notification documents, photo identification records, health insurance and life insurance applications, I-9 forms, performance evaluations, commendations, training records, personnel change forms, letters of resignation, retirement membership application, vacation and sick leave reports, salary review forms, separation report and correspondence.

(1) Employees Who Separate With Post-Termination Benefits - **Retain** 3 years after all benefits have been paid.

(2) Employees Who Separate Without Post-Termination Benefits - **Retain** 5 years after termination of employment.

(3) If applicable, **comply** with union rules relating to certain types of personnel records such as evaluations and reprimands.

PS-9 Job Descriptions And Announcements

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

Descriptions - **Retain** current plus one prior revision.

Announcements - **Retain** 2 years after position has been filled.

PS-10 Labor Negotiations Files

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

Retain 5 years after expiration of the contract.

PS-11 Labor Union Contracts

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

Retain 20 years after expiration.

PS-12 Merit System Examination Records And Answer Sheets

Examination record indicates examinee's identification number, name and address; title and date of examination; examinee's signature; and test results and scores. Answer sheet includes examinee's identification number and score as well as the date and title of the examination.

Retain 5 years.

PS-13 State Civil Service Records (Other Than Those Filed In Individual Personnel Folder)

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

Retain as long as of administrative value.

PS-14 Union Grievances

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

Retain 3 years after final resolution.

PS-15 Worker's Compensation Records

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

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

PS-16 Commercial Drivers License Records (CDL)

May include job applications, driver information, employment record, drug test results, accident reports reviews and summaries, 1-9 forms, violations and supervisor training records.

Comply with retention requirements promulgated by the appropriate licensing agency.

PLANNING AND ZONING RECORDS

PZ-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

PZ-2 Aerial Photographs

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

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

PZ-3 Annual Planning Reports

Shows major accomplishments of the Planning Commission and provides information on yearly activities and recommendations.

Retain permanently for administrative and historical purposes.

PZ-4 Applications For Building And Zoning Permits

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

Retain records relating to commercial buildings and structures until structure is demolished.

Retain records related to other structures 5 years after final approval of project or certificate of occupancy has been issued.

PZ-5 Comprehensive Or Master Plans

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

Retain permanently for administrative, legal and historical purposes.

PZ-6 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Planning Commission.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

PZ-7 Maps

May include the following categories of maps: highway, land use, community facilities, water and soil, topographic, geologic survey, borough and township.

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

PZ-8 Minutes Of The Planning Commission Board

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

Retain permanently for administrative, legal and historical purposes.

PZ-9 Minutes Of The Zoning Hearing Board

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

Retain permanently for administrative, legal and historical purposes.

PZ-10 Municipal Zoning Ordinance Amendment Reviews

File includes copies of ordinance and amendment, related documentation and Commission's recommendations.

Retain permanently for administrative, legal and historical purposes.

PZ-11 Planning Commission Grant Records

Contains grant application records, workpapers, reports and other supporting material used to manage Planning Commission grants.

Comply with retention requirements promulgated by the appropriate funding agency.

PZ-12 Records In Court Cases

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

Retain permanently for administrative, legal and historical purposes.

PZ-13 Special County Planning Studies And Surveys

Consists of reports related to all aspects of county planning such as storm drainage, housing, parks and open space guidelines, mass transit, community facilities, population and retail business.

Retain permanently for administrative and historical purposes.

PZ-14 Subdivision And Land Development Reviews And Approvals/Disapprovals

File includes application, official review, approval or disapproval, plot plans, financial security and development agreements, memoranda, notes and correspondence.

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

PZ-15 Variances To Flood Plain Regulations

Involves request for variance to zoning ordinance for flood-prone areas. Usually consists of petition showing name and address of owner and/or petitioner; location of property and description of proposed use; supporting documentation; notice of public hearing and proof of publication; and decision of Board, findings of fact, conclusions of law and reasons therefore.

Retain permanently for administrative, legal and historical purposes.

PZ-16 Zoning Hearing Applications

Usually indicates petitioner's name and address, property location, description of requested variance, reasons for petition and signature of petitioner.

Retain 3 years after final decision.

PZ-17 Zoning Hearing Board Decisions

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

Retain permanently for administrative, legal and historical purposes.

PZ-18 Zoning Hearing Tapes, Stenographic Notes And Transcripts

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

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

PRISON RECORDS

PN-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

PN-2 Annual Financial And Operating Reports

Submitted to Department of Corrections, report usually contains information on expenditures for prisoners, salaries, building improvements and supplies.

Retain 2 years.

PN-3 Commitment And Discharge Record Books

Usually includes the prisoner's name, address, physical description, date of birth, family background data and crime; committing authority; and date of commitment or discharge.

Retain permanently for administrative and historical purposes.

PN-4 Extraordinary Occurrence Reports

Investigation report sent to Department of Corrections detailing all incidents or extraordinary occurrences affecting prisoners. Shows name of prison, name of official, nature of incident, date and time, information on inmate(s) involved, description of incident, injuries or damages, and signature of reporting official.

Retain 4 years.

PN-5 Fiscal Records

Includes standard accounting and financial records relating to the funds of the prison.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

PN-6 Individual Inmate Files

Official record of inmate documenting physical and rehabilitation history at the correctional institution. Includes fingerprint records, work history, personal property inventory record, photographs, personal history, incident reports and correspondence.

Retain 10 years after expiration of maximum sentence. If inmate is detainee who is found not guilty or is sentenced to a State correctional facility, **retain** 5 years after release or transfer to State facility.

PN-7 Inspection Reports

Prepared by evaluators from Department of Corrections. Report includes date, inspectors' names, summary of evaluation, population statistics, detailed comments on facilities and services with special notes on deficiencies, and verification of the inspection signed by the warden.

Retain 4 years.

PN-8 Log Books

Includes records relating to inmate mail, guard shifts, phone calls, vehicle use and other activities.

Retain 2 years after last entry.

PN-9 Master Inmate Card Files

Index card file maintained on a cumulative basis showing summary incarceration history and personal information. Usually shows name, offense, date incarcerated, date released, institutional behavior, program participation and personal statistics.

If information is duplicated in commitment and discharge records, **retain** card files the same length of time as individual inmate files. Otherwise **retain** permanently for administrative, legal and historical purposes.

PN-10 Medical Records Of Inmates

Documentation of any medical treatment received by inmates during incarceration including doctors' reports, lab records, and inmate's medical history.

Retain 7 years after discharge.

PN-11 Minutes Of The Prison Board

Record of the Prison Board meeting including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently for administrative, legal and historical purposes.

PN-12 Prison Population Reports

Includes statistical reports sent to Department of Corrections relating to receptions, releases, monthly population totals and quarterly census figures.

Retain 5 years.

PN-13 Visitor Registers

Indicates date, visitor's name and address, purpose of visit, inmate's name, and time in and out.

Retain 4 years after last entry.

PN-14 Warden's Reports

Usually submitted monthly to Prison Board, report may include information on expenditures, administrative activities, programs and personnel, population statistics, staff training, and escapes or incidents.

If not recorded in their entirety in Minutes of the Prison Board, **retain** permanently for administrative and historical purposes.

PUBLIC DEFENDER'S RECORDS

PD-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

PD-2 Client Case Files

May include application for Public Defender, criminal charges, investigative records, transcripts of trial, arraignment notices, motions, petitions, appeals and sentencing orders.

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

PD-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Public Defender's Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

PD-4 Rejected Applications

Form usually shows applicant's name, address and family history; alleged offense and reason for application; financial information and affidavit of indigency.

Retain 2 years.

PURCHASING RECORDS

PG-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

PG-2 Purchase Order Files

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

Retain 7 years.

PG-3 Purchasing Files

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

Retain 6 years.

PG-4 Supply Requisitions

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

Retain 2 years.

PG-5 Surplus Property Logs

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

Retain until superseded or obsolete.

PG-6 Surplus Property Sale Files

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

Retain 3 years.

PG-7 Vendor Files

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

Retain until superseded or obsolete.

SOLICITOR'S RECORDS

SL-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

SL-2 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Solicitor's Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

SL-3 Litigation Case Files

Contains papers relating to all types of cases litigated on behalf of the county by the Solicitor.

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

SL-4 Solicitor's Opinions

Consists of legal opinions of the County Solicitor clarifying laws.

Retain permanently for administrative, legal and historical purposes.

TAX ASSESSMENT RECORDS

TA-1 Abatements And Exonerations

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

Retain 5 years.

TA-2 Act 515 (1965) And Act 319 (1974) Case Files

Includes applications and legal covenants for lower tax assessment for not developing land. Also may contain tax computations and related correspondence. Relates to breaches of covenants.

Retain 5 years after settlement.

TA-3 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

TA-4 Appraisal Forms

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

Retain until superseded or obsolete.

TA-5 Assessment Appeal Papers

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

Retain 3 years after settlement. If appealed to court, **retain** 5 years after settlement.

TA-6 Change Of Address Records

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

Retain 2 years.

TA-7 Change Of Assessment Notices

Sent to property owner as notification of new or corrected assessed valuation of real estate, form shows date, property location, owner's name and address, new and previous assessment figures, reason for change and appeal information.

Retain 5 years.

TA-8 Developers' Plans

Includes plot plans from developers showing proposed property layouts.

Retain as long as of administrative value.

TA-9 Exemptions Files

Contains applications for exemption of property from taxation due to non-profit or non-taxable status and the Board's decision. Application provides information on organization's background, economic status and real property.

Retain 3 years after expiration of exemption.

TA-10 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Tax Assessment Department.

See Financial Records, Payroll Records, and Purchasing Records found in Section 2 for retention guidance.

TA-11 Homestead/Farmstead Exclusion Application Files

Contains applications for a tax reduction filed pursuant to Act 50 of 1998. Application provides information on property status, property location and owner's name and address.

Retain approved applications 1 year after expiration.

Retain unsuccessful applications 2 years. If appealed to Board of Assessment **retain** 5 years after settlement.

TA-12 Indices

Includes indices and cross-reference directories to tax maps, property record cards and other tax records.

Retain until superseded or obsolete.

TA-13 Industrial/Commercial Assessment Reports

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

Retain until superseded or obsolete.

TA-14 Minutes Of Board Of Assessment Appeals

Record of the Board of Assessment Appeals meeting including date, names of members present and absent, issues discussed, appeals heard and decisions made.

Retain permanently for administrative, legal and historical purposes.

TA-15 Mobile Home And House Trailer Reports

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

Retain until superseded or obsolete.

TA-16 Mobile Home Removal Permits

Generally lists date, owner's name and address, taxing district, description of mobile home, destination, certification that all taxes have been paid, and signatures of local tax collector, County Treasurer or Tax Claim Bureau Director.

Retain 2 years after expiration.

TA-17 Non-Real Estate Tax Duplicates

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

Retain 7 years; then **contact** the State Archives to arrange transfer of selected duplicates. Those records not selected may be destroyed.

TA-18 Occupational Tax Lists

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

Retain until superseded or obsolete.

TA-19 Personal Property Tax Return Forms/Cards

Usually indicates date; taxpayer's name, address and social security number; itemized list of stocks, bonds, mortgages, etc.; total value; taxpayer's signature and verification information.

Retain 5 years.

TA-20 Property Record Cards

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

Retain permanently for administrative, legal and historical purposes.

TA-21 Real Estate Tax Duplicates

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

Retain 21 years; then **contact** the State Archives to arrange transfer of selected duplicates. Those records not selected may be destroyed.

TA-22 Seated And Unseated Land Books And Related Papers

Includes history of property transfer, location, deed book reference, owner's name and address, total acres, price paid and assessed valuation.

Retain permanently for administrative, legal and historical purposes.

TA-23 Tax Collector's Reports

Monthly report submitted to the County Commissioners. Shows name of municipality, date, collection totals, amounts due collector and county, and tax collector's signature.

Retain 5 years.

TA-24 Tax Maps And Aerial Photographs

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

Retain maps until superseded or obsolete; then **contact** State Archives regarding transfer.

Retain aerial photographs permanently for administrative, legal and historical purposes.

TA-25 Tax Millage Certificates

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

Retain permanently for administrative and legal purposes.

TA-26 Tax Receipts

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

Retain 2 years.

TAX CLAIM RECORDS

TC-1 Cash Register Receipts

Daily record of cash received for payment of taxes.

Retain 3 years.

TC-2 Delinquent Tax Receipts

Receipt indicates number, date, owner's name, property location, total taxes paid, and signature of person receiving payment.

Retain 1 year.

TC-3 Judicial Sale Records

Relates to sale of property administered by the court on property free and clear of all liens.

(1) *All Forms and Petitions* - **Retain** permanently for administrative, legal and historical purposes.

(2) *Distribution Sheets* - **Retain** permanently for administrative, legal and historical purposes.

(3) *Receipts for Payment* - **Retain** 3 years.

TC-4 Notices Of Return Of Claim And Posting

Record usually includes date, description of property, owner's name and address, and total claim due. Used to notify property owner about delinquent taxes.

Retain permanently for administrative, legal and historical purposes if property goes to sale.

Retain 1 year if delinquent taxes have been paid.

TC-5 Private Sale Records

Relates to sale of property to individuals if not sold at public auction.

(1) *All Forms and Petitions* - **Retain** permanently for administrative, legal and historical purposes.

(2) *Distribution Sheets* - **Retain** permanently for administrative, legal and historical purposes.

(3) *Receipts for Payment* - **Retain** 3 years.

TC-6 Refund Letters

Notice to taxpayer showing overpayment of taxes and stating that a refund is due.

Retain 3 years.

TC-7 Tax Claim Dockets

Usually in card form. Docket includes description of property, owner's name and address, yearly assessment, taxes due, payment received, tax collector's name and municipality.

Retain permanently for administrative, legal and historical purposes if property goes to sale.

Retain 1 year if delinquent taxes have been paid.

TC-8 Tax Claim Reports

Includes daily, monthly, quarterly or annual reports. Contains a summary of delinquent tax revenues received. Used to post totals to ledgers.

Retain 3 years.

TC-9 Tax Collector Return Sheets

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

Retain permanently for administrative, legal and historical purposes if property goes to sale.

Retain 1 year if delinquent taxes have been paid.

TC-10 Tax Lien Certificates

Issued under terms of the Real Estate Tax Sale Law (72 P.S. 5860.208), certificate shows amount of taxes due on specific properties.

Retain as long as of administrative value.

TC-11 Tax Sale Ledgers

Includes description and location of property, names of new owner and prior owner, date of sale, total amount collected, costs, excess monies and final distribution.

Retain permanently for administrative, legal and historical purposes.

TC-12 Upset Sale Records

Relates to sale of property at public auction for payment of delinquent taxes.

(1) *Copy of Title Report* - Retain permanently for administrative, legal and historical purposes.

(2) *Distribution Sheets* - Retain permanently for administrative, legal and historical purposes.

(3) *Proof of All Forms of Notices*

Includes - but not limited to - Certified or Registered Mail, Posting, Advertisement, Return, Receipt Cards, etc.

Retain permanently for administrative, legal and historical purposes.

(4) *Receipts for Payment* - Retain 3 years.

VETERANS' AFFAIRS RECORDS

VA-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

VA-2 Cemetery Maps And Plot Records

Consists of cemetery maps showing detailed drawings of the location of grave plots of county veterans.

Retain permanently for administrative and historical purposes.

VA-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Veterans' Affairs Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

VA-4 Indices

Consists of indices to grave register, military enrollment or discharge records, and case files.

Retain permanently for administrative and historical purposes.

VA-5 Local Military Enlistment/Discharge Records

Contains any local enlistment, discharge and service records as well as military roll books. Usually lists veteran's name, residence, age, profession, occupation or trade, and marital status. Used primarily for reference and case administration.

Retain permanently for administrative and historical purposes.

VA-6 Veterans' Assistance And Claim Files

Pertains to Veterans' Administration benefits and entitlements such as pensions and widows' or dependents' benefits. File may include copies of Federal forms and correspondence.

Retain 5 years after final resolution.

VA-7 Veterans' Grave Register

Burial record, usually in card form, shows veteran's name; birth and death dates; rank, branch and length of service; name and location of cemetery; name and address of funeral director; location of grave and type of marker; and date information was obtained.

Retain permanently for administrative and historical purposes.

VOTER REGISTRATION RECORDS

ADDITIONAL RETENTION REQUIREMENTS

Currently, Federal election records (including all records and papers pertaining to any application, registration or other act requisite to voting) must be retained for 22 months from the date of any general, special, or primary election for federal office under the Civil Rights Act of 1960, codified at Title 42, U.S. Code, Sections 1974 through 1974e inclusive.

VR-1 Death Reports or Deceased Voters List

Includes reports prepared by the Health Data Center used by the Voter Registration Office to maintain current data. Also includes the electronic data transmitted by the Department of Health to the statewide voter registration system. Lists name and address of deceased, date of birth and date of death. When a voter who dies is cancelled, see VR-6.

Retain 2 years. (25 Pa.C.S. §§ 1405(b)(1) and 1505, 4 Pa. Code § 183.12(d)(2)(v) & (vii)).

VR-2 Eligible Voters Records

Consists of all affidavits, declarations, (VR 13) and other records and files essential for maintaining the status of qualified electors for voter registration purposes. Used to validate eligibility to vote.

Retain in the General Register electronically as long as voter remains eligible (4 Pa. Code § 183.4(c)(1) & VR-8). Retain paper records 22 months from the date of any general, special, or primary election for federal office. (42 U.S.C.A. § 1974). For cancelled records of the registration of an elector, see VR-6.

VR-3 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Voter Registration Office.

See Financial Records, Payroll Records, and Purchasing Records found in Section 2 for retention guidance.

VR-4 Minutes Of The Registration Commission

Record of the Registration Commission meeting, including date, names of members present and absent, issues discussed, motions, reports and actions taken.

Retain permanently. (25 Pa.C.S. § 1203(e) and 4 Pa. Code §183.12(d)(5)).

VR-5 Miscellaneous Voter Registration Records

Contains miscellaneous records not essential for maintaining the current status of qualified electors.

Retain 3 years, from the point the Commission marks the records as non-essential. (25 Pa.C.S. §1904(b)).

VR-6 Cancelled Voter Registration Records

Includes cancelled voter registration cards and all affidavits, declarations, voter registration mail applications and other records relating to purged electors.

Retain 5 years. (25 Pa.C.S. §§1901(a) & 1904(a) and 4 Pa. Code §183.12(d)(3)(i)-(ii)).

VR-7 Street Lists

Indicates district, voter's name, address and party affiliation.

Retain until superseded or obsolete. (25 Pa.C.S. §1403(b)).

VR-8 General Register and District Register (Poll Book)

The General Register consists of the registration information contained in the statewide voter registration system as maintained by the county voter registration commission. (25 Pa.C.S. § 1401(a)(1)-(7)).

The district register (poll book), which is prepared using the general register, contains the names of the registered electors of the election district, alphabetically by last name of each registered elector. (25 Pa.C.S. §1402(b)).

Retain as follows:

District Register - 5 years. (25 Pa.C.S. §1405(a) and 4 Pa. Code § 183.12(b)(2)).

General Register – retain the electronic record in the Statewide Uniform Registry of Electors (SURE) permanently. (25 Pa.C.S. § 1401(c)). For cancelled records of the registration of an elector, see VR-6.

VR-9 Voter Registration Totals

Sent biannually to the Department of State, Bureau of Elections, the report includes date, certification of totals by party and sex, grand totals, number of voting districts and voting machines, and signatures of Registration Commission members.

Retain 5 years. (4 Pa. Code § 183.12(d)(3)(ix)).

VR-10 Voter Registration Preference Form (previously called the Declination Form)

The form on which an individual indicates his desire to register to vote or not to do so, and which is used in administering voter registration in accordance with 25 Pa.C.S. § 1325(b) (relating to government agencies). The failure to sign a PENNDOT Voter Registration Application or an agency's preference form is a declination.

Retain 22 months from the date the agency receives it. (4 Pa. Code § 183.12(a)(1)).

VR – 11 Records Concerning the Accuracy and Currency of Official Lists

Records concerning the implementation of programs and activities conducted for the purposes of ensuring the accuracy and currency of official lists of registered electors, except to the extent that the records relate to a declination to register to vote or the identity of a voter registration agency through which any particular qualified elector is registered

Retain: 2 years. (25 Pa.C.S. § 1405(b)(1)).

VR – 12 Removal of Electors/Notices

Includes records relative to mailings and responses to mailings conducted in accordance with 25 Pa.C.S. §§ 1501 (relating to removal notices) and 1901 (relating to removal of electors). Also includes lists of names of registrants who were mailed notices prior to cancellation of their voter registration. When a voter who is removed is cancelled, see VR-6.

Retain: 2 years. (25 Pa.C.S. § 1405(b)(2), 4 Pa. Code § 183.12(d)(2)(iv) and (vi)).

VR – 13 Applications for Voter Registration and Voter Registration Cards

Applications for voter registration may consist of federal or state applications. State applications shall contain: the full name of the applicant, the address of residence, the mailing address if different, the name and address of residence on a previous registration and year of that registration, the political party, and date of birth. The telephone number and race are optional. 25 Pa.C.S. § 1327(a)(1).

Retain: 22 months from the date of any general, special, or primary election for federal office. (42 U.S.C.A. § 1974).

VR – 14 Federal Election Years (Years in which there are candidates for federal office.)

Includes all records and papers relating to any application, registration, or other act requisite to voting in such election.

Retain: 22 months from the date of any general, special, or primary election for federal office. (42 U.S.C.A. § 1974).

WEIGHTS AND MEASURES RECORDS

WM-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

WM-2 Citations

Includes citations issued for improper calibrations, short weight and other deficiencies showing date, business name and address, and problem.

Retain 5 years.

WM-3 Consumer Complaint Files

Contains correspondence, completed complaint forms, supporting papers and record of action taken relating to complaints about the accuracy of scales or pumps.

Retain 7 years after resolution of complaints.

WM-4 Field Test Reports

Shows business name and address, date of inspection, description of equipment, and results of scale and pump accuracy measurement tests.

Retain 2 years after superseded if information is transferred to master file. Otherwise, **retain** for life of equipment at present business location.

WM-5 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Weights and Measures Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

WM-6 Package Checking Establishment Records

Includes results of random and standard package inspections arranged by business.

Retain for length of time the establishment is in business at present location.

WM-7 Package Checking Reports

Shows business name and address and results of food package checks to determine accuracy of the weight as labeled on the packages.

Retain 2 years after superseded if information is transferred to master file. Otherwise, **retain** for life of equipment at present business location.

WM-8 Scale And Pump Cards - Master File

Consists of inspection records of individual scales and pumps usually indicating business name and address, description of equipment, date of inspection and results. Information transferred to card from Field Test and Package Checking Reports.

Retain for life of equipment at present business location.

WM-9 Sealer Monthly Reports

Submitted to the Bureau of Standard Weights and Measures, report summarizes Sealer's activities in regard to inspection of weighing, measuring and timing devices; packaged commodities; and coal and firewood. Also includes monthly totals for prosecutions and complaints.

Retain 3 years.

OFFICE OF THE CLERK OF COURTS

CC-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

CC-2 Annual Audit And Financial Reports

Report submitted annually to the Department of Community and Economic Development covering all assets, liabilities, fund equities, revenues, expenditures, and other financing sources and uses for county or municipal funds and accounts.

Retain 5 years.

CC-3 Argument, Trial, Sentencing And Hearing Lists

Shows cases listed for argument, trial, sentencing or hearing (e.g. Post-Trial Motion, Omnibus Pre-Trial and Motion in Limine, etc.) and may include date set; names of parties involved, attorneys and judge assigned to case; number, date and nature of proceedings; and disposition.

Retain as long as of administrative value.

CC-4 Bonds

Consists of bonds for various officials such as tax collectors and constables. Bond usually includes names and addresses of official and insurance company, condition and amount, date, and signatures of official and company representative.

Retain tax collector's bond 10 years after expiration of term or resignation. **Retain** bonds of other officials 6 years after expiration of term or resignation.

CC-5 Bondsmen's Records

Includes copy of Pennsylvania Insurance Department's Certificate of Authority to Transact Business, insurance company's summary financial statement, power of attorney, copy of surety agent license, and quarterly bail statement for Surety Bondsmen. May also include copy of license from Pennsylvania Insurance Department for Professional Bondsmen.

Retain Surety Bondsmen's records 6 years after expiration of license. **Retain** Professional Bondsmen's records 6 years after expiration of license.

CC-6 Clerk's Summary Of Collections Reports

Submitted monthly to the Department of Revenue, reports show name of county; month and year; name of Clerk; and summaries of fines and costs, violations of the vehicle code, and costs and miscellaneous fines payable to the Commonwealth.

Retain until all audits required by law have been completed and settled.

CC-7 Controller's And Auditors' Reports

Report from the County Controller or Auditors includes summary of the financial condition of the county. Provides an account of all receipts, expenditures, disbursements, revenues, assets and liabilities.

Retain 2 years after filing unless report has the effect of a judgment against real estate of a county officer.

CC-8 Court Appointments

Consists of orders for appointments of various officers such as election officers, court masters, juvenile and adult probation officers and/or staff, district court administrators, and municipal officials in cases of vacancies. Order indicates date, name of appointee, office and signature of judge. May also include petitions for appointments.

Retain 2 years after expiration of appointment or resignation.

CC-9 Criminal Dockets, Books And Indices

Consists of all dockets, books and indices pertaining to papers filed in criminal matters including but not limited to Administrative, Appeal, Argument, Bond, Capias, Continuance, Conviction, Criminal, Habeas Corpus, Information, Magisterial, Minutes, Miscellaneous, Oyer and Terminer, Post Conviction, Quarter Sessions, Recognizance, Support, Surety, Trial, and True Bill.

For all cases disposed of prior to 1910, **retain** until appraisal by the State Archives and transfer of select dockets to the county archives or to the State Archives.

For all cases disposed of from 1910 on, **retain** dockets permanently for administrative, legal and historical purposes.

CC-10 Criminal Papers/Files

Consists of papers filed in criminal matters including the following: affidavits, agreements, answers, appeals, bail bonds, bills of costs, certifications, citations, colloquies, commitments, complaints, docket transcripts, fingerprint request cards, indictments, information, motions, opinions, orders, petitions, pleas, praecipes, requests, returns of service, rules, stipulations, transcribed testimony, verdicts, waivers, and warrants.

For all cases disposed of prior to 1910, **retain** until appraisal by the State Archives and transfer of select papers/files to the county archives or to the State Archives.

For all cases disposed of from 1910 on, **retain** as indicated:

1. Accelerated Rehabilitative Disposition Cases

Retain 7 years after expiration of period of ARD program.

2. Dismissed/Nol Prossed/Quashed Cases - (Prior to trial in Common Pleas Court)

Retain 3 years after final order.

3. Inactive Matters Terminated Pursuant To R.J.A. 1901

Retain 2 years after termination.

4. Disposition In Lieu Of Trial Cases (Under The Controlled Substance, Drug, Device and Cosmetic Act, 35 P.S. 780-113)

Retain 7 years after expiration of treatment program.

5. First And Second Degree Murder Cases

Retain permanently for administrative, legal and historical purposes. (Guilty and not guilty verdicts.)

6. Felony Cases

Guilty - Retain all papers listed under **Criminal Files/Papers (CC-10)** for 50 years after sentencing. In the event combined sentences exceed 50 years, **retain** 1 year after expiration of combined sentences. **Retain** papers not listed under **Criminal Files/Papers (CC-10)** (e.g. correspondence or subpoenas) 15 years after sentencing **unless**, upon agreement with Court and District Attorney pursuant to local practice, it has been determined that such papers should also be kept for the longer retention period.

Not Guilty - Retain 3 years after verdict.

7. Misdemeanor Cases

Guilty - Retain all papers listed under **Criminal Files/Papers (CC-10)** for 20 years after sentencing. In the event combined sentences exceed 20 years, **retain** 1 year after expiration of combined sentences. **Retain** papers not listed under **Criminal Files/Papers (CC-10)** (e.g. correspondence or subpoenas) 5 years after sentencing unless, upon agreement with Court and District Attorney pursuant to local practice, it has been determined that such papers should also be kept for the longer retention period. If a misdemeanor is connected with a felony charge, **follow** retention listed under **6. Felony Cases (above)**.

Not Guilty - Retain 3 years after verdict.

8. Summary Appeal Cases

Guilty - Retain 5 years after sentencing.

Not Guilty/Withdrawn - Retain 2 years after verdict or withdrawal.

9. *Docket Transcripts And Papers For Cases Settled At District Justice Level* (Clerk's Copy)

Retain 3 years.

10. *Criminal Papers Not Otherwise Listed* – (May include petitions for out-of-state witnesses; return of property; destruction; removal for private burial; constables certificates; petition for transportation and other papers not filed as part of a criminal case file.)

Retain 3 years from date of filing

CC-11 Criminal Reports To Administrative Office

Monthly statistical report indicates date and county, case totals, age of pending cases, name and signature of person filing report, and date.

Retain 3 years.

CC-12 Domestic Relations Papers/Files

Consists of papers relating to support matters which are sometimes filed in the Clerk's office.

If the Clerk is the custodian of support records, **comply** with the rules and regulations promulgated by the appropriate administering/funding/licensing agency. (Bureau of Child Support Enforcement, Pennsylvania Department of Public Welfare and Bureau of Child Support Enforcement, U.S. Department of Health and Human Services) - current regulations require officers to **retain** these records 4 years after case is closed and all arrearages have been satisfied.

CC-13 Election Records

May include dockets, books, indices and papers such as maps, orders, petitions and reports relating to the creation or alteration of election districts. Records may also contain election returns.

Retain permanently for administrative, legal and historical purposes.

CC-14 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Clerk's Office.

See Financial Records, Payroll Records, and Purchasing Records found in Section 2 for retention guidance.

CC-15 Fugitive Cases

Consists of papers relating to extradition of fugitives to another jurisdiction including but not limited to affidavits, answers, bail bonds, complaints, docket transcripts, motions, orders, petitions, transcribed testimony, waivers, and warrants.

Retain 3 years after extradition to other jurisdiction.

CC-16 Grand Jury Records

Consists of records produced by or relating to investigating grand juries including but not limited to lists, motions, notices, orders, presentments, reports, responses, and transcripts of proceedings.

Retain permanently for administrative, legal and historical purposes.

CC-17 IRS Reports For Cash Bail

Filed with the Internal Revenue Service for all cash bonds exceeding \$10,000, as per Internal Revenue Code Section 6050I (g)

Retain 5 years from date of filing.

CC-18 Juvenile Dockets, Books And Indices

Consists of all dockets, books and indices pertaining to papers filed in juvenile matters.

Retain permanently for administrative and legal purposes.

CC-19 Juvenile Papers/Files

Consists of papers filed in juvenile matters including the following: affidavits, agreements, answers, appeals, bail bonds, bills of costs, certifications, citations, colloquies, commitments, complaints, docket transcripts, fingerprint request cards, indictments, information, motions opinions, orders, petitions, pleas, praecipes, requests, returns of service, rules, stipulations, transcribed testimony, verdicts, waivers, and warrants.

Retain until juvenile is age 25 or 10 years after last action on the case, whichever is later.

CC-20 Liquor License Suspension Appeals

Consists of papers relating to appeals from rulings of Pennsylvania Liquor Control Board including but not limited to answers, briefs, lists, memoranda of law, motions, notices, opinions, orders, petitions, praecipes, rules, stipulations, subpoenas, and transcribed testimony.

Retain 5 years after final disposition.

CC-21 Municipal Boundary/Incorporation Records

Consists of dockets, books, indices and papers relating to the determination of disputed boundaries, name changes and incorporations including but not limited to affidavits, appeals, applications, appointments, briefs, certifications, decrees, election results, exceptions, notices, orders, ordinances, petitions, plots, recommendations, reports, requests, resolutions, and transcribed testimony.

Retain permanently for administrative, legal and historical purposes.

CC-22 Notices Of Temporary Assignments Of Issuing Authority

Filed pursuant to Pa. R. Crim. P., Rule 23, Pa. C.S.A., notice or order includes date, name of district justice, dates of temporary assignment, and signature of judge.

Retain 1 year after expiration of temporary assignment.

CC-23 Oaths Of Officials

Usually shows name of official, text, date filed, and signatures of official and person administering oath.

Retain 2 years after expiration of term or resignation.

CC-24 Occupational And Miscellaneous Registers

Consists of records used to document county functions which are now obsolete. May include registers for automobiles, dogs, stallions and various types of licenses such as hotel and tavern, as well as occupational registers relating to attorneys, dentists, merchants, midwives, optometrists, physicians, teachers, and veterinary surgeons.

Retain permanently for historical purposes at county archives or **contact** the State Archives to arrange transfer.

CC-25 Private Detective Licensing Records

Consists of records relating to individuals, partnerships, associations or corporations applying to the court for licenses or renewals. May include affidavits, applications, bonds, certificates (incorporation, reputation/approval, service/mailling, and work experience), criminal record forms (State Police), fingerprint request cards, identification cards, lethal weapons training certifications, or waivers, licenses, memoranda, notices, orders, photographs, powers of attorney, public statements, and statements of objections. Filings may be recorded in Criminal Dockets or in separate Detective Licensee Books.

Retain papers 6 years after expiration/revocation of license. **Retain** dockets or license books permanently for administrative, legal and historical purposes.

CC-26 Road And Bridge Records

Consists of docket, books, indices and papers relating to the construction and repair of roads and bridges including but not limited to appointments of viewers, bonds, decrees, depositions, drafts, exceptions, maps, notices, orders, ordinances, petitions, plots, reports and resolutions.

Retain permanently for administrative, legal and historical purposes.

CC-27 School District Auditors' Reports

Filed annually pursuant to the Public School Code, report includes name and address of local education agency; name, signature, address and telephone number of auditor; date prepared; auditors' opinion; combined balance sheet; and financial statements.

Retain 1 year.

CC-28 Tax Collector's Reports

Report submitted annually to the Department of Community and Economic Development containing financial statements, statistics relating to various taxes levied and collected, summary of collections and costs, collector's statement of expenses, and information on other tax collectors.

Retain 7 years.

CC-29 Wiretapping/Electronic Surveillance Papers

May include applications for order of authorization, final reports, orders, supporting papers, and monitor's records.

Retain 10 years, then may be destroyed upon order of the court.

CC-30 Wiretapping/Electronic Surveillance Tapes And Recordings

Consists of any wire or oral communication intercepted by any investigative or law enforcement officer, or communications common carrier acting at the direction of an investigative or law enforcement officer.

Retain 10 years, then may be destroyed upon order of the court.

OFFICE OF THE CORONER

CN-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

CN-2 Coroner's Dockets And Indices

Record of inquests and investigations usually showing date; name, age and address of deceased; date and place of death; names of coroner, jurors and witnesses; finding; and signatures of the coroner and jurors.

Retain permanently for administrative and legal purposes. Dockets and indices created prior to 1906 may be transferred to the State Archives without microfilming.

CN-3 Coroner's Investigatory Files

May include autopsy and toxicology reports, correspondence, inquisition sheets, lists of personal effects, notes, photographs and summary reports.

Retain records pertaining to natural deaths 20 years.

Retain records pertaining to anything but natural deaths permanently for administrative and legal purposes. Records which may not lend themselves to microfilming should be retained in original form. Records created prior to 1906 may be transferred to the State Archives without microfilming.

CN-4 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Coroner's Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

OFFICE OF THE DISTRICT ATTORNEY

DA-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

DA-2 Case Files

Consists of copies of filed papers relating to felonies, misdemeanors and summary appeals including but not limited to: Accelerated Rehabilitative Disposition papers, affidavits, agreements, answers, appeals, applications, appointments, bail bonds, bills, briefs, certificates, certifications, citations, colloquies, commitments, complaints, confessions, Criminal Reporting Network evaluations, discharges, docket transcripts, evidence cards, indictments, information, lists, motions, memoranda of law, notices, opinions, orders, petitions, pleas, praecipes, releases, reports, requests, returns of service, rules, statements, stipulations, subpoenas, testimony, transfers, verdicts, waivers, warrants and writs. May also include appellate briefs, fingerprints, correspondence, information notes, lab reports, mug shots, police reports and other papers not filed with Clerk of Courts.

Retain as long as of administrative and legal value.

DA-3 Case File Indices

Main index to the case files. This index is kept in various forms. Often referred to as a status card, tracking card, rap sheet, or D.A. docket. May contain defendant's name, alias, social security number, birth date, race, sex, file number, term, year, charge, date of plea or verdict, judge's name, date of sentence, sentence and release date. Arranged alphabetically by name.

Retain as long as of administrative and legal value.

DA-4 Fiscal Records

Includes standard accounting and financial records relating to the funds of the district attorney's office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

DA-5 Fugitive And Extradition Files

May include but is not limited to checklists, police reports, governor's warrants, complaints, information notes, applications for requisition, orders and National Criminal Information Center records.

Retain as long as of administrative and legal value.

DA-6 Investigative Files

Records of investigations performed by county detective or someone in that capacity, under direction of the district attorney. May include incident reports, complaints, initial reports, supplemental materials, bingo license files and prisoner furlough files.

Retain as long as of administrative and legal value.

DA-7 Juvenile Case Files

May include but is not limited to: copies of affidavits, agreements, answers, appeals, applications, appointments, bail bonds, bills, certificates, certifications, citations, colloquies, commitments, complaints, confessions, Criminal Reporting Network evaluations, discharges, docket transcripts, evidence cards, fingerprint request cards, indictments, information, lists, memoranda of law, motions, notes, opinions, orders, petitions, pleas, praecipes, releases, reports, requests, returns of service, rules, statements, stipulations, subpoenas, testimony, transfers, verdicts, waivers, warrants and writs. May also include fingerprints, correspondence, information notes, lab reports, police reports and other papers not filed with Clerk of Courts.

Retain as long as of administrative and legal value.

DA-8 Wiretapping/Electronic Surveillance Papers

May include applications for order of authorization, final reports, orders, supporting papers, and monitor's records.

Retain 10 years, then may be destroyed upon order of the court.

DA-9 Wiretapping/Electronic Surveillance Tapes And Recordings

Consists of any wire or oral communication intercepted by any investigative or law enforcement officer, or communications common carrier acting at the direction of an investigative or law enforcement officer.

Retain 10 years, then may be destroyed upon order of the court.

OFFICE OF THE JURY COMMISSIONERS

JC-1 Calendars Of Drawings

Published listing of dates for court trials and hearings. Indicates court date, drawing date, and mailing date.

Retain until end of court term/session.

JC-2 Jury Lists

1. Master Lists Of Prospective Jurors

List of county residents, in manual or electronic form, who may be eligible to serve as jurors. Includes name, street address, city and zip code. May include voting district and occupation.

Retain until end of court term/session.

2. Jury Selection Lists

Result of regular drawings for each court term/session. The number of names is designated by the president judge and drawn at random from the master list of prospective jurors. Includes individual's name and address, and sometimes occupation.

Retain 5 years after end of court term/session.

3. Lists Of Qualified Jurors

Names drawn from the jury selection list of all those individuals determined eligible for jury duty.

Retain 5 years after end of court term/session.

4. Exempt Jurors Lists

List of individuals excused from jury duty, with reason for exemption.

Retain as long as of administrative value.

JC-3 Minutes Of The Jury Selection Commission

Information may include date and place of meetings; names of members who attended; name, address and occupation of each juror selected; type of jury for which each juror was drawn; type of court and term of service; and signature of jury commissioners' clerk.

Retain 7 years; then **contact** the State Archives to arrange transfer of selected books. Those records not selected may be destroyed.

JC-4 Qualification Forms/Questionnaires

Returned questionnaires of prospective jurors used to evaluate their qualifications to serve on a jury. May include information on name, age, residence, employer, citizenship, literacy, disability, criminal record, prior service, occupation, and undue hardship. Signed by respondent.

Retain until completion of jurors' service unless otherwise ordered by the trial judge, during which time it shall be sealed.

JC-5 Service Review Forms (Exit Questionnaires)

Optional evaluation form filled out by jurors on completion of jury duty and designed to solicit opinions concerning various aspects of jury duty.

Retain as long as of administrative value.

OFFICE OF THE PROTHONOTARY

PY-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

PY-2 Advance Copies Of Laws

Consists of copies of statutes enacted at each session of the General Assembly. Filed with the Prothonotary to provide access by the public.

Retain until December 31st of the following year.

PY-3 Annual Audit And Financial Reports

Report submitted annually to the Department of Community and Economic Development covering all assets, liabilities, fund equities, revenues, expenditures, and other financing sources and uses for county or municipal funds and accounts.

Retain 5 years.

PY-4 Argument, Trial And Hearing Lists

Shows cases listed for argument, trial or hearing (e.g. Rule to Show Cause, Settlement Conference, etc.) and may include date set; names of parties involved, attorneys and judge assigned to case; number, date and nature of proceedings; and disposition.

Retain as long as of administrative value.

PY-5 Bonds Of County Officials

Consists of bonds for certain county officers. Bond usually includes names and addresses of official and insurance company, conditions and amount, date, and signatures of official and company representative.

Retain 6 years after expiration of term or resignation.

PY-6 Civil Dockets, Books And Indices

Consists of all dockets, books and indices pertaining to filed papers including but not limited to Appeal, Appearance, Arbitration, Asbestos, Assignees, Certiorari, Civil, Common Pleas, Conditional Sales, Continuance, Corporation, Divorce, Ejectment, Eminent Domain, Equity, Execution, Family, Federal Tax Lien, Fictitious Names, Insolvency, Judgment, Letter of Attorney, Locality, Mechanics' Lien, Mental Health, Minutes, Miscellaneous, Municipal Lien, Notes, Partition, Partnership, Personal Property Tax Lien, Recognizance, Secured Transactions, Estate Tax Lien, Suits, Summons, Support, Tax Lien, Trustee, Unemployment Compensation Lien and Workmen's Compensation Lien.

Retain permanently for administrative, legal and historical purposes.

PY-7 Civil Papers/Files

Consists of papers filed in civil matters both at law and equity including but not limited to affidavits, agreements, answers, appointments, assignments, awards, bills, bonds, certificates, complaints, decrees, executions, exemplifications, interrogatories, memoranda, notes, notices, opinions, orders, petitions, powers of attorney, praecipes, recognizances, requests, releases, reports, returns of service, rules, subpoenas, stipulations, transfers, venires, waivers, and writs of summons.

Retain as indicated:

1. *All Civil Matters (Law/Equity), Not Otherwise Listed:*

(a) Involving Title To Real Estate - Retain permanently for administrative and legal purposes.

(b) Marked Discontinued/Settled – Not Involving Title To Real Estate - Retain one year.

2. *Change Of Name* - Retain permanently for administrative and legal purposes.

3. *Condemnation* - Retain permanently for administrative and legal purposes Initial Complaint and/or Declaration of Taking, Appointments of the Board of View and Final Order. Miscellaneous papers of a procedural nature **should be retained** 2 years after expiration of appeal period or termination on the record.

4. *Declaratory Judgment* - If judgment affects title to real estate, **retain** permanently for administrative and legal purposes. If judgment does not affect title to real estate, **retain** 2 years after expiration of appeal period or termination on the record.

5. *Depositions, Notes Of Testimony, Briefs, Memoranda Of Law And Interrogatories* - If filed according to local rule, **retain** 1 year after expiration of appeal period or termination on the record, except that Notes of Testimony relating to Divorce and Annulment cases **should be retained** 5 years after entry of the Final Decree and Order.

6. *Divorce And Annulment* - Retain permanently for administrative and legal purposes: Complaint; Proof/Affidavit/Acknowledgment of Service of Complaint/Answer/Counter Claim; Special Relief Papers and other documents as determined by local policy; Final Decree; Property, Custody, Alimony, and Support Orders; Agreements; and Notice of Election to Retake Prior Name. All other papers in Divorce or Annulment actions (e.g. Master's Reports, Notes of Testimony, Conciliator's Reports, Inventories and Appraisements, Income and Expense Statements, Correspondence, Proposed/Suggested Schedules of Distribution, Notices of Counseling, Hearing Notices, and other Certificates of Service) should be retained 5 years after Final Decree in Divorce or Annulment.

- 7. Domestic Relations** - If the Prothonotary is the custodian of Domestic Relations records (Support), **comply** with the rules and regulations promulgated by the appropriate administering/funding/ licensing agency (Bureau of Child Support Enforcement, Pennsylvania Department of Public Welfare and Bureau of Child Support Enforcement, U.S. Department of Health and Human Services) - current regulations require officers to **retain** these records 4 years after case is closed and all arrearages have been satisfied.
- 8. Ejectment - Retain** permanently for administrative and legal purposes. (Does not relate to eviction.)
- 9. Fictitious Name - Retain** permanently for administrative and legal purposes. (After March 16, 1983, filed with the Department of State.)
- 10. Habeas Corpus/Child Custody - Retain** 20 years after filing of order granting custody if not part of a divorce action.
- 11. Inactive Matters Terminated Pursuant To R.J.A.1901- Retain** papers 1 year after termination.
- 12. Involuntary Dissolution - Retain** permanently for administrative and legal purposes.
- 13. Judgments And Liens - Retain** open judgments and liens and supporting papers permanently for administrative and legal purposes. If judgment or lien has been satisfied, **retain** evidence of satisfaction including any authority to satisfy permanently for administrative and legal purposes. (May appear only in docket entry.) All other papers **should be retained** 1 year after satisfaction. In the case of Federal Tax Liens which have been satisfied, **retain** original notice and certificates of refiling, release, discharge, non-attachment, and subordination permanently for administrative and legal purposes. All other papers **should be retained** 1 year after satisfaction. Stipulations, waivers and agreements against Mechanics' Liens **should be retained** 10 years after filing. Mechanics' Lien claims which have not become perfected liens **should be retained** 10 years after filing.
- 14. Mental Health - Retain** hearing tapes or stenographic records 1 year after proceedings. **Retain** papers 10 years after date of filing.
- 15. Mortgage Foreclosure - Retain** permanently for administrative and legal purposes.
- 16. Non-Profit Corporation - Contact** State Archives for information about implementation of Act 140 of 1991 (Department of State Project).
- 17. Paternity - Retain** permanently for administrative and legal purposes.
- 18. Peddlers' Licenses - Retain** permanently for historical purposes at county archives or **contact** State Archives regarding transfer.
- 19. Pennsylvania Department Of Transportation Suspension Appeals** (Including but not limited to License Suspension, Mechanic's Certificate, Inspection Station and Vehicle Registration) - **Retain** 2 years after expiration of appeal period or termination on the record.

20. *Protection From Abuse* - Retain 1 year after termination of protection order.

21. *Quiet Title* - Retain permanently for administrative and legal purposes.

22. *Trust Inter Vivos* - Retain permanently for administrative and legal purposes. (Now filed in Orphans' Court.)

PY-8 Civil Reports To Administrative Office

Monthly statistical report indicates date and county; totals for docketed, arbitrated and ready for trial cases; age of trial-ready cases; name and signature of person filing report; and date.

Retain 3 years.

PY-9 Controller's And Auditors' Reports

Report from the County Controller or Auditors includes a summary of the financial condition of the county. Provides an account of all receipts, expenditures, disbursements, revenues, assets and liabilities.

Retain 2 years after filing unless report has the effect of a judgment against real estate of a county officer.

PY-10 Coroner's Records

See **Office of the Coroner** records found in Section 2 for retention guidance.

PY-11 Court Appointments

Consists of orders for appointments of various officers such as arbitrators, divorce masters, election officials, mental health review officers, school police, etc. Order indicates date, name of appointee, office and signature of judge. May also include petitions for appointments.

Retain 2 years after expiration of appointment or resignation.

PY-12 Deputy Sheriff Affidavits And Appointment Lists

Affidavit usually shows date, name and address of individual being appointed, text of affidavit, and signatures of notary and appointee. Photograph of appointee is attached. May also include Sheriff's statement that Deputy's name appears on official list. Appointment list indicates date, names and addresses of persons to be appointed who meet qualifications, and signature of Sheriff.

Retain affidavit and statement 2 years after expiration of term or resignation. **Retain** list 2 years after replacement by new list.

PY-13 Financing Statements And Change Forms

Filed pursuant to the Uniform Commercial Code, statement shows names, addresses and signatures of parties; filing information; and description of collateral. Change form relates to continuation, termination, release, assignment, or amendment of original statement. Includes names, addresses and signatures of parties; filing information; number, date and place of filing of original statement; and description of change.

Retain 1 year after lapse. If termination statement has been filed, **retain** 1 year after termination.

PY-14 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Prothonotary's Office.

See Financial Records, Payroll Records, and Purchasing Records found in Section 2 for retention guidance.

PY-15 Insurance Company Financial Statements And Certificates

Papers include a copy of the Pennsylvania Insurance Department's Certificate of Authority to Transact Business, and a summary financial statement indicating the company's assets and liabilities. Required of companies providing surety bonds within the county that require approval of a judicial officer.

Retain those related to officer bonds 6 years after filing. **Retain** others 2 years after filing.

PY-16 Naturalization Dockets, Books, Indices And Papers

May include Certificates of Arrival, Declarations of Intention, Depositions, Lists of Naturalization Petitions Recommended to be Granted or Denied, Naturalization or Alien Dockets and Indices, Naturalization Notes of Testimony, Naturalization Petitions, Orders of Court Granting or Denying Petitions for Naturalization, Repatriation Dockets, Requests for Certificates of Arrival, and Stubs for Naturalization Certificates.

Retain permanently for administrative, legal and historical purposes. If these records have been microfilmed, the originals may not be destroyed but **must be retained** permanently by the county or transferred to the State Archives.

PY-17 Notary Registers

Usually includes notary's name and signature, date of registration, address, and date of expiration of commission. Stamped with notary's seal.

Retain 5 years after last entry.

PY-18 Oaths Of County Officials

Usually shows name of official, text, date filed, and signatures of official and person administering oath.

Retain 2 years after expiration of term or resignation.

PY-19 Occupational And Miscellaneous Registers

Consists of records used to document county functions which are now obsolete. May include registers for automobiles, dogs and stallions as well as occupational registers relating to attorneys, dentists, midwives, optometrists, physicians, veterinary surgeons, etc.

Retain permanently for historical purposes at county archives or **contact** State Archives regarding transfer.

PY-20 Passport Application Transmittals

Report sent to U.S. Department of State. Shows date; office; applicant's name, date of birth, telephone number, date of departure and added return services; amounts collected; total number processed; and signature of individual preparing transmittal.

Retain 2 years.

PY-21 Prothonotary's Monthly Returns

Sent to the Department of Revenue. Shows name of county, month and year, name of Prothonotary, number of taxable instruments, amounts for collections and commissions, total remittance and certification signed by Prothonotary.

Retain until all audits required by law have been completed and settled.

PY-22 Registry Of Out-Of-State Custody Decrees

Consists of certified copies of custody decrees from other states along with related documents and correspondence.

Retain 20 years after filing of order granting custody if not part of a divorce action.

PY-23 School District Auditors' Reports

Filed annually pursuant to the Public School Code, report includes name and address of local education agency; name, signature, address and telephone number of auditor; date prepared; auditors' opinion; combined balance sheet; and financial statements.

Retain 1 year.

OFFICE OF THE RECORDER OF DEEDS

RD-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

RD-2 Commission/Oath/Bond Books

Includes bonds, commissions, powers of attorney, affidavits and acknowledgment of corporate surety for notaries, district justices, and county officials such as treasurers, deputies, sheriffs, coroners, district attorneys, clerks of courts, and commissioners. Commissions, oaths and bonds are often recorded in the same book.

Retain 10 years after last entry. If recorded separately, **retain** Commission and Oath Book 6 years after last entry and Official's Bond Book 10 years after last entry.

RD-3 Corporation Records And Indices (Charter Books)

Contains transcripts of articles of incorporation and related papers for fraternal, religious, social, and immigrant aid associations as well as business concerns. May include articles of consolidation, proof of publication, articles of association, letters patent, orders of court, articles of amendment, affidavits, and certifications.

Contact State Archives for information about implementation of Act 140 of 1991 (Department of State Project).

RD-4 Deed Books And Indices

Includes deeds, agreements, amendments, certificates of incorporation, declarations of condominiums, deeds-in-trust, easements, installment sales agreements for real estate, leases, limited partnerships, ordinances, powers of attorney, releases, rights-of-way, Sheriff's deed records, decrees in orphans' court, and all other papers relating to deeds. Often found recorded in one book along with mortgage records.

Retain permanently for administrative, legal and historical purposes.

RD-5 Financial Records

Includes standard accounting and financial records relating to the funds of the office of Recorder of Deeds.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance.

RD-6 Financing Statements And Change Forms

Filed pursuant to the Uniform Commercial Code, statement shows names, addresses and signatures of parties; filing information; and description of collateral. Change form relates to continuation, termination, release, assignment, or amendment of original statement. Includes names, addresses and signatures of parties; filing information; number, date and place of filing of original statement; and description of change.

Retain 1 year after lapse. If termination statement has been filed, **retain** 1 year after termination.

RD-7 Maps And Plat Books

Includes drawings and blueprints of sub-divisions, Department of Transportation right-of-way maps, maps of county roads, township maps, and flood control plans. Information often includes name of subject, names of surveyors, location, names of owners/developers, date drawn, boundaries, scale used, deed reference, signatures, and certificate of registration.

Retain permanently for administrative, legal and historical purposes.

RD-8 Military Discharge Record Books And Indices

Recorded copies of honorable discharges from the United States Armed Forces. May include name of soldier, serial number, grade, branch of service, organization, date and place of birth, physical description, race, marital status and civilian occupation. Information on military history may include date of induction/enlistment, date entered into active service, place entered service, selective service date, military occupation, military qualification and date, battles and campaigns, decorations and citations, wounds, immunization record, service outside United States, prior service, reason for separation, service schools attended, education pay date, insurance information, signature of soldier, signature of personnel officer, and thumbprint.

Retain permanently for administrative, legal and historical purposes.

RD-9 Mortgage Books And Indices

Include mortgages, assignments of mortgages, chattel mortgages, declarations of trust, mortgage assumpsits, mortgage modifications, postponement of liens (extensions), releases of mortgages, releases of portions of premises from liens of mortgages, restrictions and covenants, satisfactions of mortgages, terminations, and all other papers relating to mortgages. Often found recorded in one book along with deeds.

Retain permanently for administrative, legal and historical purposes.

RD-10 Notary Registers

Record of all official acts of a notary. Information includes date and character of the act, date and parties to the instrument, and the amount of fee collected. Notary registers are filed with

the Recorder of Deeds upon a notary's resignation, disqualification, death in office or removal from office.

Retain 7 years.

RD-11 Occupational And Miscellaneous Records

Consists of records used to document county functions which are now obsolete. May include dental registers, patent books, ordinance books, militia enrollment records, attorney registers, cattle brands, list of inhabitants and slaves, and married women's separate earning records.

Retain permanently for historical purposes at county archives or **contact** State Archives regarding transfer.

RD-12 Public Utilities Commission Filing Dockets (Act 172 Files)

The Recorder of Deeds is required by law to maintain a file of utility companies with underground cables in the county in order to prevent damage to underground utility lines by excavation or demolition activity. Information includes political subdivision; user of utility cables; address, name, title, telephone number of contact person; and date filed.

Retain until superseded or obsolete.

RD-13 Realty Transfer Tax Statements Of Value

Filed with the Recorder of Deeds under the following conditions: if the full value/consideration is not set forth in the deed; when the deed is without consideration, or by gift; or if a tax exemption is claimed. Information includes correspondent, transfer data, property location, valuation data, exemption data, signature of correspondent and date. Copy filed with the Department of Revenue.

Retain 3 years.

RD-14 Recorder's Monthly Returns To Department Of Revenue

Includes realty transfer tax meter reports and monthly returns for writ tax reports. Sent to the Department of Revenue. Shows name of county, month and year, name of Recorder, number of taxable instruments or summary of transactions for the period, amounts for collections and commissions, total remittance and certification signed by Recorder.

Retain until all audits required by law have been completed and settled.

OFFICES OF REGISTER OF WILLS AND CLERK OF THE ORPHANS' COURT

WO-1 Abortion Control Act Docket And Files

Filed pursuant to Act 3206 of 1994, copies of related forms, petitions, pleadings, submissions, transcripts, exhibits, orders, evidence, findings of fact, and conclusions of law.

Retain 2 years after filing.

WO-2 Accounts

Contains schedule of distribution, audit statements and reports, final accounts, and other related records. Information includes name of estate, date of death, residence at time of death, assets distributed, value of assets, recipient of assets, and receipts and disbursements.

Retain permanently for administrative, legal, and historical purposes.

WO-3 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

WO-4 Adjudication Dockets

Summaries of cases involving wills of deceased persons.

Retain permanently for administrative, legal and historical purposes.

WO-5 Adoption Dockets

Record of all proceedings in adoptions.

Retain permanently for administrative and legal purposes.

WO-6 Adoption Docket Indices

Indexes the adoption dockets. Shows name of person adopted, name of adopting parents, date of adoption, case number, and volume and page where recorded in adoption docket.

Retain permanently for administrative and legal purposes.

WO-7 Adoption Papers

Includes petitions, paternity claims, consents, reports, notices, hearings, decrees, exhibits, notes of testimony, certifications of adoption, voluntary relinquishments, involuntary terminations, information on child and natural parents, investigators' reports on the adoptees, doctor's report, recommendation from pastor, and all other records relating to adoptions.

Retain permanently for administrative and legal purposes.

WO-8 Appearance Dockets

Summary of civil cases brought to court. Information includes names of parties and attorneys, dates papers filed, descriptions of suits and instruments filed, and action taken in cases.

Retain permanently for administrative, legal and historical purposes.

WO-9 Argument Lists

Includes attorneys in case, case number, court term, parties involved, name of estate or trust, type of action, argument, name of judge, decision, and date of decision.

Retain as long as of administrative value.

WO-10 Birth Records

Register of births shows child's name, sex, color, date and place of birth, and parents' names, addresses, and occupations.

Retain permanently for administrative, legal and historical purposes.

WO-11 Bond Dockets

A record of administrators' and executors' bonds.

Retain 5 years after closing of estate file.

WO-12 Civil Commitments

Contains various court documents on action including petition to initiate action, investigative report, doctor's report and, where applicable, certification of transfer.

Retain papers 10 years after date of filing. **Retain** hearing tapes or stenographic records 1 year after proceedings.

WO-13 Death Records

Registration of deaths occurring within the county. Information given includes name, age, sex, color, occupation, marital status of decedent, date and place of birth and death, cause of death, names of parents, and place of interment.

Retain permanently for administrative, legal and historical purposes.

WO-14 Delayed Birth Records And Indices

Registrations of births of those who never had birth certificates issued. Beginning in 1941, registration forms included all pertinent biographical information of person, such as name, sex, date of birth, place of birth, parents' names, their ages when child was born, occupations, and present address, certification by doctor, priest or minister, affidavits by one relative and two non-relatives that the facts are correct, and date of filing.

Retain permanently for administrative, legal and historical purposes.

WO-15 Estate Papers

Includes wills, codicils, probates of wills, petitions for letters of testamentary and administration, decrees, issuing letters, affidavits of death, death certificates, oaths, bonds, renunciations, inventories and appraisements, citations, distributions, court orders, accounts, inheritance tax papers and receipts, family agreements, releases, and all other papers and dockets relating to estate matters.

Retain permanently for administrative, legal and historical purposes.

WO-16 Estate Indices

Contains name of decedent, date of death, residence, personal representative, and file number.

Retain permanently for administrative, legal, and historical purposes.

WO-17 Execution Dockets

Includes court term, names of parties, type of actions, amount of judgment, date, and results of action taken by Sheriff.

Retain permanently for administrative, legal, and historical purposes.

WO-18 Financial Records

Includes standard accounting and financial records relating to the funds of the office of Register of Wills.

See Financial Records, Payroll Records, and Purchasing Records found in Section 2 for retention guidance.

WO-19 Inheritance Tax Dockets

Includes file number, name and address of decedent, date of death, date of granting of letters, character of letters, executor or administrator, appraiser, appraised value of estate, tax due, interest due, total amount due, amount paid, filing date, and remarks.

Retain permanently for administrative, legal, and historical purposes.

WO-20 Inheritance Tax Reports

Monthly report to the State of the inheritance taxes collected. Information given includes amount of tax, name of estate, taxes collected, deductions, and amount of return.

Retain 2 years after receipt of the final settlement of audit.

WO-21 Inventory And Appraisement Dockets

Includes a listing of estate assets and their valuation, appraiser's name, date of filing, name of decedent, and name of executor.

Retain permanently for administrative, legal, and historical purposes.

WO-22 Marriage License Applications (Dockets/Licenses)

Includes biographical information of couple, signatures of couple and Clerk, consents, fees, name of officiant, and place and date of marriage.

Retain permanently for administrative, legal and historical purposes.

WO-23 Marriage Docket Indices

Shows the names of couple, license number, and volume and page in marriage license docket.

Retain permanently for administrative, legal and historical purposes.

WO-24 Marriage License Returns (Duplicates)

Duplicate certificate returned to Clerk of the Orphans' Court by officiant of marriage. Information includes date of marriage, license number, name and addresses of parties, and officiant's signature.

Retain permanently for administrative, legal and historical purposes.

WO-25 Orphans' Court Minutes

Minutes of the orphans' court sessions. Includes court term, case number, date and time of meeting, names of parties and judges, and business transacted.

Retain permanently for administrative, legal and historical purposes.

WO-26 Orphans' Court Records And Indices

Includes appointment and discharge of guardians and trustees, releases, court orders, appeals, fiduciaries' accounts, name of estate or minor, records relating to sale of real estate, name of petitioner, petitions, decrees, auditor's reports, bonds, partition papers, appellate court papers, inventories and appraisements, date of ruling, and all other papers and dockets relating to orphans' court proceedings in probate matters.

Retain permanently for administrative, legal and historical purposes.

WO-27 Partition Dockets

Records of petitions to divide land among descendants when deceased persons die intestate. Includes name of estate, petitioner, parties having an interest in the real property, filing dates, citations, names of judges and attorneys, description of property, and map of the lot.

Retain permanently for administrative, legal and historical purposes.

WO-28 Pennsylvania Voter Registration Act (PVRA) Declamation Forms

Record of voter registration transactions conducted in the office of the Clerk of Orphans' Court. Information includes applicants name, signature and date of signing.

Retain for 2 years after filing.

WO-29 Proceedings Dockets

A record of the proceedings related to the administration and execution of the estates of deceased persons.

Retain permanently for administrative, legal and historical purposes.

WO-30 Recognizance Dockets

Includes name of recognizance, name of estate, number and term, date, and amount.

Retain permanently for administrative, legal, and historical purposes.

WO-31 Register's Monthly Returns To Department Of Revenue

Sent to the Department of Revenue. Shows name of county, month and year, name of Register, number of taxable instruments or summary of transactions for the period, amounts for collections and commissions, total remittance and certification signed by Register.

Retain until all audits required by law have been completed and settled.

WO-32 Will Books

Contains copies of wills, petitions to probate wills, and granting of letters. Information includes name of decedent, name of executor, date of petition, decedent's address, date of death, date will probated, fees, and inventory and evaluation of assets.

Retain permanently for administrative, legal and historical purposes.

WO-33 Reports to Administrative Office (Act 24 Guardianships, Orphan's Court Report)

Statistical reports indicating date and county, case totals, age of respondents, type of petitioner, number of petitions, reimbursement information, name and signature of person filing report and date.

Retain 3 years

OFFICE OF THE SHERIFF

SF-1 Administrative And Subject Files

See **Administrative and Legal Records** found in Section 2 for retention guidance.

SF-2 Applications For Purchase Of Firearms

Records name, residence, date, years at present and previous addresses, business and occupation, date of birth, physical description of applicant, and description of gun. Sometimes includes photograph of applicant.

Retain 6 years.

SF-3 Arrest Records

May include both traffic and non-traffic citations. May also include records relating to summary offenses such as drunk driving, disorderly conduct and public intoxication as well as initial crime reports and FBI fingerprint cards.

Retain 5 years after final disposition of case.

SF-4 Complaint And Investigation Files

May include warrants and attachments, crime reports, documentary evidence, laboratory case files, test reports, extradition papers, and criminal histories. Files often contain records of Juvenile, Protection from Abuse, and Domestic Relations Cases.

Retain 5 years after final disposition of case.

SF-5 Fee/Surcharge Books

Records the surcharge placed on all civil processes which is paid into the deputy education and training fund.

Retain 7 years after last entry.

SF-6 Fiscal Records

Includes standard accounting and financial records relating to the funds of the Sheriff's Office.

See **Financial Records, Payroll Records, and Purchasing Records** found in Section 2 for retention guidance. Where applicable, **comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

SF-7 Juror Records

See **Office of Jury Commissioners** found in Section 2 for retention guidance if Sheriff is custodian of juror selection records.

SF-8 Licenses To Carry Firearms

Record is numbered and gives name, address, race, age, date of birth, physical description, description of weapon, signatures of issuing authority and licensee, and reason for carrying firearm. Application may also include fingerprint card, criminal check and photograph.

Retain 6 years.

SF-9 Licenses To Sell Firearms

Form is numbered and records name of licensee; name and address of his/her business; political subdivision, city or county; name of issuing authority; date and copy identification. First copy is sent to State Police.

Retain 6 years.

SF-10 Log Books

Includes daily work rosters; night, prisoner transfer, vehicle and other logs relating to the daily operation of the Sheriff's Office.

Retain 2 years after last entry.

SF-11 Miscellaneous Dockets And Papers

Docket relates to papers not assigned a case number by the recording offices. Papers may contain both civil and criminal records including letters, out-of-county materials from District Courts, out-of-county deputations, petitions, services of complaint, summonses, and warrants.

Retain dockets permanently for administrative, legal and historical purposes. **Retain** papers as long as of administrative and legal value.

SF-12 National Criminal Information Center Records

Form submitted to county control (or radio room) to verify information sent to NCIC. Records date and operator's initials, offense, extradition number, name, sex, social security number and physical description of criminal. Also records time served for previous convictions.

Retain until case is terminated or records are no longer of administrative value.

SF-13 Obsolete Dockets And Papers

Consists of records used to document Sheriff's functions or part of functions which are now obsolete. May include Election Records, Eviction Dockets, Horse and Wagon Accounts, Jury Books, Maps, Sundry Dockets, Testatum Fi Fa Dockets, and Vagrant Dockets.

Contact the State Archives in order to determine which records should be retained permanently for historical purposes. Records with permanent value **should be retained** by the county or may be transferred to the State Archives. Records not selected for permanent retention may be destroyed.

SF-14 Personal Property Sale Records

Record may include advertisements, cost sheets, distribution sheets, fees, finalized sale records, levies, returns of service, satisfactions, settlements, and related writs. Materials indicate court term and case number, date and type of writ, location and description of property, amount of debt, interest, execution costs and commissions, date and amount of sale, name of Sheriff conducting sale and proof of publication.

Retain 2 years after expiration of appeal period.

SF-15 Precious Metals Dealer License Applications

Includes applicant's name, age, sex, alias, address, phone number, employer, business address and signature.

Retain 5 years.

SF-16 Prison Records

See **Prison Records** found in Section 2 for retention guidance.

SF-17 Real Estate Sale Records

May include advertisements, bills of costs, cost sheets, distribution records, eviction papers, Execution Dockets, fees and finalized sale records, judgments, lien records, mortgage foreclosures, returns of service, real estate journals or ledgers, Sheriff's Deed Books, satisfactions, settlements, Sheriff's Sales Dockets, writs and other related papers.

Retain permanently for administrative, legal and historical purposes any original papers and dockets retained only by the Sheriff. **Retain** non-permanent records 2 years after expiration of appeal period.

SF-18 Records Of Sale Of Firearms

Form identifies date and time of sale, city and county, name and address of purchaser as well as his/her occupation and employer. Record also includes description of firearm as well as

physical description of purchaser. First copy is sent to State Police. Second copy is retained by seller.

Retain 6 years.

SF-19 Sheriff's Dockets

Includes service records of writs, summonses, complaints, judicial orders, petitions, and warrants. Usually indicates names of the parties, court term and case number, title of action, date and time papers were served, attorney's name, amount involved, costs and fees, and Sheriff's signature. Some counties may record the transfer or release of prisoners, and out-of-county deputations.

Retain permanently for administrative, legal and historical purposes.

SF-20 Property Record Cards - Firearms

Information on firearms (weapons) confiscated by the Sheriff as part of PFA actions. May include a copy of the PFA, NICS receipts (for firearm), description of firearm, photographs, notices (for return of firearm), copies of certified mail, copies of petition for court order for destruction of firearm and orders for destruction.

Retain 5 years after disposition

SECTION 3:
APPENDICES

APPENDIX I (a)

COUNTY RECORDS ACT*

AN ACT, creating a county records committee; imposing powers and duties upon it; authorizing the Pennsylvania Historical and Museum Commission to assist and cooperate with it; defining county records; and authorizing the disposition of certain county records by county officers in counties of the second to eighth class.

Section 1. There is hereby created a county records committee which shall consist of fifteen members who shall be appointed by the Governor for a term of four years. One member of the committee shall be the Chief Justice of the Pennsylvania Supreme Court, or his judicial representative, one a representative of the Pennsylvania Historical and Museum Commission, one an attorney, one a Prothonotary, one a clerk of courts, one a county commissioner, one a county controller or auditor, one a district attorney, one a county treasurer, one a sheriff, one a register of wills, one a recorder of deeds, one a jury commissioner, one a coroner, and the other a member of the general public. The committee shall select one of its members to serve as chairman. Within the means at its command, the Pennsylvania Historical and Museum Commission shall assist and cooperate with the county records committee by providing for its necessary expenses, by providing for examining and inventorying county records for the preparation of schedules, and by enforcing such schedules and procedures as the county records committee may make or revise under the provisions of this act.

Section 2. The following words and phrases when used in this act shall have the meanings given to them in this section unless the context clearly indicates otherwise:

"Commission" – The Pennsylvania Historical and Museum Commission of the Commonwealth.

"County" – Any county of the second through eighth class, including any of such counties as may have adopted a home rule charter.

"County records" – Any papers, dockets, books, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received in any office of county government in pursuance of law or in connection with transactions of public business in the exercise of its legitimate functions and the discharge of its responsibilities.

Section 3. It shall be the duty of the committee to meet at least once a year to make or revise schedules setting forth the conditions under which county records filed in any office of county government may be disposed of. Meetings of the committee shall be called by the Executive Director of the Pennsylvania Historical and Museum Commission; however, meetings may also be called by the chairman or by a majority of the members of the committee whenever the chairman or the majority of members deems it necessary.

Section 4. County officers in counties, as defined in this act, may dispose of all county records in their custody, provided they follow the schedules and procedures prescribed by the county records committee and maintain a log of individual disposition actions involving nonpermanent records. Copies of such logs, in a form approved by the committee, shall be submitted annually to the commission. Original records scheduled for permanent retention may be disposed of if the county officer creates and maintains a copy of the original in conformance with section 4.1 and receives

written permission from the commission. Written permission from the commission is required only for disposition actions involving records scheduled for permanent retention, records not listed on the schedules and records selected for transfer to the State Archives.

Section 4.1. Records may be recorded, copied or recopied in conformance with the act of May 9, 1949 (P.L. 908, No. 250), entitled "An act relating to public records of political subdivisions other than cities and counties of the first class; authorizing the recording and copying of documents, plats, papers and instruments of writing by photostatic, photographic, microfilm or other mechanical process, and the admissibility thereof and enlargements thereof in evidence; providing for the storage of duplicates and sale of microfilm copies of official records and for the destruction of other records deemed valueless; and providing for the services of the Department of Property and Supplies to political subdivisions," and applicable policies, standards and procedures adopted by the Committee. In the event of any such destruction or other disposition of any public records under the provisions of this section, the copy shall be receivable in evidence in any court or proceeding and shall have the same force and effect as though the original public record had been there produced and proved.

Section 5. No county officer shall be held liable on his official bond or in any way, either civil or criminal, because of the disposition of records, provided he disposes of the records in accordance with the schedules adopted by the committee.

Section 6. All acts and parts of acts are repealed in so far as they are inconsistent herewith.

Section 7. This act shall take effect immediately.

***Act No. 407 was approved August 14, 1963. The act was amended on November 30, 1967 by Act No. 300, on November 22, 1968 by Act No. 335, on November 23, 1976 by Act No. 258, and on February 18, 1998 by Act No. 29.**

APPENDIX I (b)

RULE OF JUDICIAL ADMINISTRATION 507

(a) Offices scheduled by the County Records Committee

Common Pleas Court Prothonotaries, Clerks of Courts, Clerks of Orphans' Courts, Registers of Wills, District Attorneys, Sheriffs, Coroners, and Jury Commissioners or their Home-Rule equivalents when disposing of records shall do so in conformity with the applicable record retention schedules and the conditions stipulated therein promulgated from time to time by the County Records Committee under the act of August 14, 1963 (P.L. 839, No. 407) (16 P.S. section 13001 et seq.)

(b) Offices scheduled by the Supreme Court

System and related personnel engaged in clerical functions in offices covered by general or specific record retention and disposition schedules promulgated from time to time by the Supreme Court when disposing of records shall do so in conformity with the applicable retention schedules and the conditions stipulated therein.

(c) Non-scheduled offices

System and related personnel in offices not covered under subdivisions (a) or (b) when disposing of records shall submit to the Administrative Office of Pennsylvania Courts and to the Pennsylvania Historical and Museum Commission duplicate copies of a record disposal certificate form and a written statement explaining the nature and the content of the records. After consultation with the Commission, the Administrative Office may authorize the destruction of such records, either with or without the retention of a permanent copy.

APPENDIX II (b)

UTILIZING THE COUNTY RECORDS DISPOSAL LOG

This log is required for the destruction of non-permanent records only. Records disposal certification request forms must be submitted to the Pennsylvania Historical and Museum Commission for disposition actions involving records scheduled for permanent retention, records not listed in the County Records Manual, and records selected for transfer to the State Archives.

Some records not scheduled for permanent retention may still have historical value, especially records created prior to 1940, and the State Archives may be interested in accessioning some of these records. Questions regarding the possible historical value of such records should be referred to the Commission's Division of Archival and Records Management Services.

- (1) **County** - Enter the name of the County.
- (2) **Office/Dept.** - Office should correspond to the highest organizational units within the County.
- (3) **Address** - Enter mailing address of the office or department responsible for records.
- (4) **Contact Person** - Enter the name and phone number of the person most knowledgeable about the records.
- (5) **Record Title** - Enter the title of the records to be destroyed, i.e., check registers, hunting licenses, etc.
- (6) **Authorization For Disposal** - Enter the page and item numbers in the County Records Manual which identify the retention period of the records.
- (7) **Inclusive Dates of Records** - Enter the earliest and latest dates covered by the records.
- (8) **Volume in Cubic Feet** - Enter the volume of the records in cubic feet.
- (9) **Format** - Enter the physical format of the records, i.e., paper, microfilm, optical disk, etc.
- (10) **MF** - Identify whether the records have been microfilmed or not.
- (11) **Primary Copy** - Enter whether or not the office has the primary responsibility for the records.
- (12) **Date Approved** - Enter the date the records are approved for destruction by the records custodian. The records custodian should be the county officer responsible for the records or his/her designated representative.
- (13) **Initials** - The county officer or designated representative must verify that he/she has approved the destruction of the records as listed.
- (14) The county officer or designated representative must sign and date the log form certifying that all information is correct and all applicable State/Federal standards and guidelines have been met.

APPENDIX III

SAMPLE MICROFILM TARGETS

START

ROLL NO.

**REDUCTION
RATIO: X**

TITLE TARGET

1. The documents below are microfilmed in the regular course of business and are the records of:

2. Name and title of the current Records Custodian/Officer:

3. Name and location of service bureau, if applicable:

4. Reduction ratio: _____

5. Title of file or series (include dates, volume number or serial numbers needed to adequately identify the records):

**CONTINUED
FROM
PRECEDING
ROLL**

END OF VOLUME

**CONTINUED
ON NEXT
ROLL**

MOUNTAIN COUNTY

DECLARATION OF CAMERA OPERATOR

OFFICE OF THE RECORDER OF DEEDS

JOHN JONES, RECORDER

BEGIN _____

END _____

This certificate was filmed on _____.

The records were filmed in accordance with procedures prescribed by the officer indicated above.

SIGNATURE OF MICROFILM CAMERA OPERATOR

PRINTED NAME OF CAMERA OPERATOR

END OF ROLL

MOUNTAIN COUNTY

RETAKE CERTIFICATE

This is to certify that the micrographics appearing on this retake film are true and accurate reproductions of records filmed for the

beginning with _____

and ending with _____

The retakes were made to correct an error or oversight in the original filming and have been spliced onto the beginning of the permanent security copy roll in which the error occurred.

SIGNATURE OF MICROFILM CAMERA OPERATOR

PRINTED NAME OF CAMERA OPERATOR

DATE

APPENDIX IV (a)

UTILIZING THE MICROFILM QUALITY INSPECTION REPORT FORM

County:

Fill in the name of the County.

Office/Department:

Office should correspond to the highest organizational units within a county. This would normally correspond to the traditional row offices – Prothonotary, Recorder of Deeds, Treasurer, etc.

Record Series:

Title of records being filmed – Deed Books, Minutes of the Board of County Commissioners, Civil Case Files, etc. If more than one series per roll, list all titles (e.g., Civil Case Files / Charters / Miscellaneous Dockets).

Inspected:

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

Roll Number:

Your roll number.

Reduction Ratio:

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

Resolution:

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

Density:

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

Base + Fog Density:

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

Date Filmed:

Use the date on the Declaration by the Camera Operator.

Scratches, Blurred Pages - Other:

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

Comments:

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

Legibility:

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

Targets:

Mark "S" for satisfactory or "U" for unsatisfactory. Roll must contain all the recommended information, technical, and certification targets to be rated satisfactory. See Appendix III of the County Records Manual for sample targets.

Inspector's Initials:

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

Methylene Blue Testing:

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

For additional information contact:

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

(717) 783-9874 or 787-3913

APPENDIX V

GLOSSARY OF TERMS

Access Time. (1) Time it takes to get an instruction or a unit of data from computer memory to the processing unit of a computer. (2) Time it takes to get a unit of data from a direct access storage device to computer memory.

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

Algorithm. Mathematical formula or procedure.

ANSI. Acronym for American National Standards Institute. ANSI is a voluntary nonprofit consensus standards organization which coordinates private-sector standards activities and serves all industries and users in the United States. ANSI is the primary interface with the U.S. Government on matters relating to standards and also is the recognized representative to the International Organization for Standardization (ISO).

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

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

Array. An arrangement of elements in one or more dimensions.

ASCII. Acronym for American Standard Code for Information Interchange - American National Standard binary-coding scheme consisting of 128 eight-bit patterns (7-bits plus a parity check bit) for printable characters and control of equipment functions.

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

Baud. Unit of transmission speed equal to the number of signal events per second.

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

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

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

Book cradle. A device which holds a large bound book open and flat during filming with a planetary camera.

Byte. 1) Group of binary digits (bits), processed or operating together. 2) Term used to describe one character of information.

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

Camera-processor. A device which performs both filming and processing within one unit.

Cartridge. A container enclosing processed microforms, designed to be inserted into readers, reader-printers and retrieval devices. When applied to roll microfilm, it describes a single-core device.

Cassette. (1) A double core container enclosing processed roll microfilm, designed to be inserted into readers, reader-printers and retrieval devices. (2) A lightproof container of rigid metal or plastic containing film for daylight loading in cameras. (3) A container for magnetic tape.

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

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

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

Cellulose ester. A film base composed mainly of cellulose esters of acetic, propionic or butyric acids or mixtures thereof.

Cine mode. Vertical Mode. (1) The arrangement of images on roll microfilm in which the lines of print or writing are perpendicular to the length of the film for horizontal script and parallel for vertical script. (2) The arrangement of images on a microfiche in which the first microimage is in the top left-hand corner of the grid pattern and succeeding microimages appear in sequence from top to bottom and in columns from left to right.

Comic mode. Horizontal Mode. (1) The arrangement of images on roll microfilm in which the lines of print or writing are parallel to the length of the film for horizontal script and perpendicular for vertical script. (2) The arrangement of images on a microfiche in which the first microimage is in the top left-hand corner of the grid pattern and succeeding microimages appear in sequence from left to right and in rows from top to bottom.

Computer Micrographics. Branch of micrographics dealing with microforms that are generated, stored, retrieved or manipulated with the aid of computer techniques.

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

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

Data Base. A set of data, consisting of 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.

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

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

Data File. An organized collection of related data, usually arranged into logical records that are stored together and treated as a unit.

Densitometer. A device used to measure the optical density of an image or base by measuring the amount of light reflected or transmitted.

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

Diazo Film. A slow print film, sensitized by a coating of diazonium salts which, subsequent to exposure to light and development, forms an image. Diazo film generally produces nonreversed images; i.e., a positive image will produce a positive image and a negative image will produce a negative image.

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

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

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

Drive. Machine for reading and, when possible, writing a data storage medium (disk, tape, card or otherwise); can be optical, magnetic, etc.

Dry-process silver film. A nongelatin silver film that is developed by application of heat.

Duplicate. (1) A copy of a microform made by contact printing or by optical means. (2) To make multiple copies of a document or microfilm, usually with the aid of the master film or intermediate copies.

EBCDIC. Acronym for Extended Binary Coded Decimal Interchange Code. 8-bit computer code that is used to represent upper and lowercase characters and special symbols.

Electronic Records. Records stored in a form that only a computer can process. Also called machine-readable records or Electronic Data Processing (EDP) records.

Electronic Records System. Information system that produces, manipulates, or stores auditable records of a county's transactions by using a computer.

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

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

Eye loupe. (Measuring Magnifier) A hand-held magnifying glass with a power of 6 to 15x.

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

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

Hardcopy. (1) An enlarged reproduction from a microform usually on paper. (2) A printed copy of machine output in a readable form, for example, output from a computer printer.

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

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

Image Enhancement. The process of cleaning up or intensifying 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 the file size, compression formula, and image density and is used to link a user's request for an image to a specific location on the storage device.

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

Information System. Logical group of subsystems and data required to support the data needs of one or more business processes.

Integrated Information System. Information systems that combines two or more technologies or subsystems, e.g., CD-ROM and microcomputer.

ISO. Acronym for International Organization for Standardization. ISO produces standards or recommendations, including those that impact the information technology field, which are the result of free and open agreement among nations. Its purpose is to coordinate standardization efforts and encourage cooperation in economic, intellectual, technological, and scientific endeavors.

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

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

LAN. Acronym for Local Area Network. Data communication network of connected devices within a small area, such as a building or group of buildings.

Laser. Source that produces light that is monochromatic (of only one wavelength) and highly coherent (with waves in phase both temporally and spatially). Acronym for light amplification by stimulated emission of radiation.

Laser-beam COM recorder. COM recorder that uses a laser beam to generate images directly on film.

LE rating. Acronym for Life Expectancy rating. The LE rating is the life expectancy of film when stored under specified storage conditions. For example, film with an LE rating of 100 would have an estimated life expectancy of 100 years when stored under recommended storage conditions.

Light box. A device for inspecting film that provides diffused illumination evenly dispersed over the viewing area.

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

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

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

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

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

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.

NAPM. Acronym for National Association of Photographic Manufacturers, Inc.

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

NIST. Acronym for National Institute for Standards and Technology. Formerly known as the National Bureau of Standards (NBS), it was established in 1901 to support industry, commerce, scientific institutions, and all branches of Government. NIST laboratories work to advance measurement science and develop standards for industry and commerce.

OCR. Acronym for Optical Character Recognition. Technique by which characters can be machine-identified then converted into computer processable codes (e.g., ASCII, EBCDIC, etc.)

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

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

Packing Density. The determination of the amount of information contained within defined dimensions.

Peripheral Equipment. Supplementary equipment external to a computer that puts data into or accepts data from the computer, such as disk drives and printers.

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

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

Polarity. The change or retention of the dark to light relationship of an image, i.e., a first-generation negative to a second-generation positive indicates a polarity change, while a first-generation negative to a second-generation negative indicates the polarity is retained.

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

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

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

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

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

Raster COM Recorder. COM recorder that generates microimages from pixel representation.

Recordkeeping System. A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use and disposition and to provide adequate documentation of the agency's functions and transactions.

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

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

Redox blemish. A microspot formation on silver-gelatin type films caused by air pollution, improper packaging or storage conditions. Synonymous with aging blemishes, measles, microspots and red spots.

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

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

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

Resolving Power. The numeric expression of the ability of an optical or photographic system to distinguish or separate two entities spaced closely together. In micrographics, it is the product of the number of the resolution test pattern resolved in the image multiplied by the reduction and is expressed in line pairs per millimeter.

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

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

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

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

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

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

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

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

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

Step-and-repeat camera. A type of microfilm camera that can expose a series of separate images on an area of film according to a predetermined format, usually in orderly rows and columns, e.g., microfiche.

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

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

Text Documents. Narrative or tabular documents, such as letters, memorandums, and reports, in loosely prescribed form and format.

Vesicular film. A film in which the light-sensitive component is suspended in a plastic layer. On exposure, the component creates optical vesicles (bubbles) in the layer. These imperfections form the latent image which becomes visible and permanent by heating the plastic layer and then allowing it to cool.

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

APPENDIX VI (a)

USING THE INDEX

Step One: Look up the record series in the alphabetical index and find the citation that accompanies the entry.

Step Two: Browse down the alphabetical listing of citations (found below) until you find the citation that accompanies the records series. The citation key shows which section and/or county office within the Manual to look in to find the records series.

Step Three: The number that appears in the second part of the citation represents the numerical order of the records series within that particular county office or Manual section.

Example: A citation of (CC-7) would therefore represent the 7th records series in the Clerk of Courts section of the County Records Manual.

KEY TO CITATIONS

AC	Arts Council	IT	Information Technology
AE	Agriculture Conservation Easement Program	JC	Jury Commissioners
AG	Aging	JD	Juvenile Detention
AL	Administrative and Legal	LR	Licensing and Registration
AV	Aviation	LY	Library
CA	Consumer Affairs	MH	Mental Health and Mental Retardation
CC	Clerk Of Courts/Clerk Of The Criminal Division	PD	Public Defender's
CD	Conservation District	PG	Purchasing
CH	County Home	PL	Payroll
CN	Coroner	PN	Prison
CT	Convention and Tourist Bureau	PR	Parks and Recreation
CY	Children and Youth	PS	Personnel
DA	District Attorney	PY	Prothonotary/Clerk Of The Civil Division
DG	Drug and Alcohol	PZ	Planning and Zoning
EC	Emergency Management and Communications	RD	Recorder Of Deeds
ED	Economic Development and Redevelopment	SF	Sheriff
EL	Election	SL	Solicitor's
EP	Engineering and Public Works	TA	Tax Assessment
ES	Emergency Medical Services	TC	Tax Claim
FM	Fire Marshal	VA	Veterans' Affairs
FN	Financial	VR	Voter Registration
FS	Fire School	WM	Weights and Measures
HD	Full-Time County Health Departments	WO	Register Of Wills/Clerk Of Orphans' Court

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