



# COUNTY RECORDS MANUAL



*Issued for the County Records Committee  
by the*

**PENNSYLVANIA HISTORICAL AND MUSEUM COMMISSION  
DIVISION OF ARCHIVAL AND RECORDS MANAGEMENT SERVICES  
HARRISBURG**

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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 Bureau of the Pennsylvania State Archives (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 seventy-five 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 caseloads, 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. 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 Bureau of the Pennsylvania State Archives (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.) 507(a), the Supreme Court 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 should refer to Pa.R.J.A. No. 507(b) and ancillary comment to the Rule for information about record retention and disposition schedules adopted by the Supreme Court. Additional information pertaining to the legal disposition of unified judicial system records may be obtained by contacting the Administrative Office of Pennsylvania Courts or the State Archives.

### **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 (including social media and other third-party platforms) 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 Right-to-Know law states "Nothing in this act shall be construed to modify, rescind or supersede any record retention policy or disposition schedule of an agency established pursuant to law, regulation, policy or other directive." (ch. 5 § 507). For additional information contact the Pennsylvania Office of Open Records.

**The County Records Act requires that, when disposing of records, county officers shall:**

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 minimum length of time the records must be retained after filing. Microfilm or electronic copies may be substituted for both permanent and non-permanent records unless otherwise required by law.

Counties must submit a notification form to the Commission's Bureau of the Pennsylvania State Archives when permanent records are to be kept on microfilm or in electronic format. The notification form states that the county is in compliance with Committee standards and guidelines and takes responsibility for the quality and accessibility of the records and must receive a signed acknowledgement from PHMC before destroying other copies (such as paper). Records with non-permanent retention do not require notification to be kept electronically or on microfilm. Under 37 Pa. C.S. § 305, PHMC retains the right to examine and report on the condition of these, and all public records, to confirm adherence to policies and guidelines.

**Records of Historical Value**

Records with enduring administrative and legal value are scheduled for permanent retention by county governments in paper, electronic, or microfilm form (unless otherwise noted in the manual). These records also commonly have important historical value and preserve the history of the county. A county should not destroy records scheduled for permanent retention, or any records not listed on the schedule, or records created prior to 1940, without notifying the State Archives first. See Notification Form in Appendix IIC. Likewise, original paper copies of historically valuable records should also be retained or offered to an archive after scanning and not summarily destroyed. Questions regarding the possible historical value and potential transfer of scanned county records to an archive should be referred to the Pennsylvania State Archives.

Some records not scheduled for permanent retention in the County Records Manual may also have important historical value and may warrant consideration for retaining beyond listed retention. If a county cannot adequately care for its own historical records, provisions may be made to transfer select inactive records of historical value to a local archival repository or the State Archives in accordance with the State Administrative Code.

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 archive.

Questions regarding the possible historical value of county records should be referred to the Commission's Bureau of the Pennsylvania State Archives (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  
Bureau of the Pennsylvania State Archives  
1681 North 6th St.  
Harrisburg, PA 17102  
Telephone: (717) 783-7330 or 717-783-9874  
Email: RA-LocalGovernment@pa.gov

## **AUDIT REQUIREMENTS, FEDERAL AND STATE STATUTES AND ADMINISTRATIVE REGULATIONS**

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.

Records involved in any litigation or active Right to Know request 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 (R- COM)** – Device that produces microforms from any computer-managed pixel image storage device.

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

**Record-keeping System** – A system (manual or electronic) for organizing and identifying records to speed their retrieval, use and disposition and to provide adequate documentation of the 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. {\*Please note that the Policy Regarding the Form of Permanent Recordation for Judicial and County Offices supersedes the following requirements for electronic records. 4/2017}

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

9.1 Specific requirements in selecting storage media.

9.1.1 Permit easy retrieval in a timely fashion.

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

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

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

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

9.2.1 The required retention period of the records.

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

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

9.2.4 The density of the record.

9.2.5 The access time necessary to retrieve stored records.

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

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

9.3 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.

9.4 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.

9.5 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.

9.6 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  
Bureau of the Pennsylvania State Archives  
1681 North Sixth St.  
Harrisburg, PA 17102  
Telephone: (717) 783-7330 or 717-783-9874  
RA-LocalGovernment@pa.gov

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:

AIIM  
8403 Colesville Rd #1100  
Silver Spring, MD 20910  
Phone: (301) 587-8202  
Toll free: (800) 477-2446

# **POLICY REGARDING THE FORM OF PERMANENT RECORDATION FOR JUDICIAL AND COUNTY OFFICES**

## **1. AUTHORITY**

This policy on the permanent recordation for judicial and county offices is authorized by an Act of July 9, 2014 P. L. 1004, An Act amending Title 42 (Judiciary and Judicial Procedures) of the Pennsylvania Consolidated Statutes, in facilities and supplies relating to judicial computer systems, further providing for surcharge and for fee deposit into the access to justice account; and, in disposition of obsolete records, further providing for form of permanent recordation and for copies of destroyed records; As well as Act of Feb. 18, 1998, P.L. 178, No. 28 which states:

*“Whenever any public officer of any political subdivision or agency thereof, including home rule municipalities, other than counties of the first class or agencies thereof and cities of the first class or agencies thereof, is required or authorized by law or otherwise to record or copy any document, the officers may do so by any photostatic, photographic, microphotographic, microfilm, microcard, miniature photographic, optical, electronic or other process which accurately reproduces the original and forms a durable medium for recording, storing and reproducing the original in accordance with standards, policies and procedures for the creation, maintenance, transmission or reproduction of images of records approved by the County or Local Government Records Committees, as applicable, but not less than those standards, policies and procedures approved by the National Institute of Standards and Technology. Any document within the scope of this section and which previously has been recorded or copied”*

## **2. PURPOSE**

The standards and procedures for electronic records promulgated in February 2002 by the County Records Committee (CRC) are herein expanded to provide for the accuracy and acceptance of permanent records maintained in electronic form.

## **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 507a. In case of any conflict between the Standards previously issued by the County Records Committee (2002) and this Policy as regards permanent and long-term records, the provisions of this Policy will govern.

## **4. OBJECTIVES**

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

4.2 To ensure the accuracy, usability, longevity and legal acceptability of electronic records maintained by county offices.

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

## 5. **DEFINITIONS**

5.1 **Convert** – To transform a computer record from one format to another. For example, convert the records from Microsoft Word to PDF/A, or convert the records from the current version of PDF/A to a newer, future version of PDF/A.

5.2 **Conversion Source**- the copy of the record that is stored in the old format. In a conversion from Microsoft Word to PDF/A, the Microsoft Word record is the 'conversion source.'

5.3 **Conversion Target** - the copy of the records that is stored in the new format. In a conversion from Microsoft Word to PDF/A, the PDF/A record is the 'conversion target.'

5.4 **Fixed Format** - a format that cannot be edited.

5.5 **Image** - the digital representation of one page.

5.6 **Long-Term Records** - records that must be retained for more than ten years but are not permanent

5.7 **Metadata** - Data that describes other data. Data may be descriptive (author, title) or technical (image size, color depth, image resolution).

5.8 **Migrate** - migration is the process of transferring from one operating or storage environment to another.

5.9 **Migration Source**- the copy of the record that sits on the platform that is being abandoned in favor of new technology. The copy, for example, that sits on the older server.

5.10 **Migration Target**- the copy of the record that sits on the newer platform after the conclusion of the migration. For example, the copy that sits on the new server.

5.11 **Page** - one side of a physical sheet of paper.

5.12 **Permanent records** - records that have been scheduled for permanent retention by the County Records Committee or by applicable statute and regulations.

5.13 **Renderable** - the electronic file can be presented, using an existing and available combination of software and hardware, into a visual image. An electronic image is not considered 'renderable' if it is only theoretically so or if it requires software or hardware not in the possession of the county that retains the file.

5.14 **Security Preservation File** - a copy of an electronic record that is stored in a secure manner so that it cannot be accessed except by a limited number of authorized users and only when no other copy of the document will suffice (if, for example, a copy is suspected to have been altered and a court wants to see what the document looked like when it was captured officially).

## 6. **POLICY**

6.1 County Officials are responsible for ensuring the continued accessibility of information created or maintained by their offices for the length of time prescribed by the County Records Manual.

6.2 Permanent records. Permanent records must be retained either in paper format, microfilm format that has been created and maintained in conformance with applicable standards approved by the County Records Committee (CRC), or in electronic format, one copy of which (the Security Preservation File) is maintained in the manner and under the conditions set forth in this policy and its related guidelines, issued by the State Archives. County officials must send a notification (see Appendix II (c) to the State Archives if they decide to keep permanent records in PDF/A format.

6.3 Non-Permanent records. County officers are not required to make special provisions for non-permanent records in electronic format, but all such records must be accessible for the full length of their entire retention period. For non-permanent records with a retention longer than ten years, county officers are strongly encouraged to utilize the procedures established for permanent records to ensure viability of the records for the full length of their retention period.

6.4 All records, whether created or maintained on electronic systems, must be maintained in a fixed format, and must be findable, retrievable, and renderable for the entire length of the retention period designated on records retention and disposition schedules approved by the CRC. It is the responsibility of county government to either (a) maintain the hardware and software required to access and display the records, or (b) establish a plan to migrate the records through each successive version of software to ensure their continued accessibility throughout their required retention period. If a record is no longer findable, retrievable, or renderable, that record will be deemed destroyed.

6.5 Electronic record keeping systems, or procedures external to the system, must provide for the secure, confidential, irreversible destruction of all copies of electronic records (including those on backup media) at the end of the retention period specified by the County Records Committee. The system must be capable of expunging permanent records when so ordered.

6.6 The implementation and use of an electronic record keeping system may not limit or hinder public access to public records. County officers should ensure that public records maintained in such systems remain accessible and can be correlated with related records on paper, microfilm or other media.

6.7 The executive director of the Pennsylvania Historical and Museum Commission (PHMC) or his designee(s), as authorized by Title 37, §305(3), shall have reasonable access to all public records maintained in conformity with this policy for the purpose of examining them and reporting on their condition. Counties may be audited by the PHMC to ensure that their permanent records maintained in electronic form are following the policy set forth.

## **7. PROCEDURES**

7.1 Administration: While county officers covered by this policy must adhere to the policy, they should be aware that additional standards may be necessary to develop a robust program.

7.2 Creation of electronic records that are permanent: Do not confuse PDF/A with standard PDF. PDF/A is a specific variation of PDF, designed for long term preservation. The PDF/A is an ISO- standardized version of the Portable Document Format (PDF) specialized for use in the archiving and long-term preservation of electronic documents. PDF/A differs from PDF by prohibiting features ill-suited to long- term archiving, such as font linking (as opposed to font embedding) and encryption. PDF/A described in ISO 19005 and subsequent revisions or future standards defined in “Guidance for the Form of Permanent Recordation for Judicial and County Offices” is established as the required format for permanent records maintained electronically. County offices may use standard file formats (TIFF, JPEG, PDF, etc.) for daily functions. Counties must maintain a Security Preservation File in PDF/A format. The county office may determine at which point in their process the Security Preservation File must be created, though generally it should occur as records are closed or complete. Systems are readily available to convert most formats to PDF/A.

7.3 Quality Control: County officers must protect the quality of the Security Preservation File maintained on electronic record keeping systems. If records are scanned from paper copies (rather than born digital), it is recommended that 100% of scanned images be quality controlled.

7.4 Data Integrity: To enhance legal admissibility of the Security Preservation File, trustworthiness must be established by thoroughly documenting the record keeping system’s operation and the controls imposed on it. County officers shall:

7.4.1 Review and verify the records before the Security Preservation File is created. Ensure that quality control evaluation of each image and its

corresponding index data is performed. Before accepting records electronically, review data and verify for authenticity, integrity and freedom from computer viruses.

7.4.2 Security procedures must prevent unauthorized addition, modification or deletion of the Security Preservation File.

7.4.3 Provide audit trails. Provide for system auditing trails and system security by utilizing software capable of monitoring and recording system access and usage.

7.4.4 Document all processes. Create the Security Preservation File through standardized, repeatable, and auditable processes that are well documented. Have written procedures for quality control, indexing, corrections, expungement, redaction, back-ups, security and migration.

7.4.5 Maintain up-to-date and historical technical and system documentation for each information system that produces, uses, or stores the Security Preservation Files.

7.4.6 Provide metadata with each Security Preservation File sufficient to identify the record and to prove provenance.

## **8. SECURITY**

8.1 County officers shall implement and maintain an effective security program to protect Security Preservation Files from unauthorized access or alteration.

8.1.1. Network and Systems Access. Controls need to be in place to protect the Security Preservation Files against attacks or software vulnerabilities, both internally and externally.

8.1.2 Physical Access. Controls need to be in place to prevent unauthorized physical access to resources where Security Preservation Files are stored.

8.1.3 Confidential, Sensitive, and/or Personally Identifiable Information (PII). Offices are responsible for identifying and classifying the Security Preservation Files, as defined by applicable laws, and must take appropriate measures to protect and maintain the confidentiality of such records.

8.1.4 Migrate or Expunge. When the Security Preservation File is migrated or expunged, precautions must be taken so the information cannot be reconstituted.

## **9. PROTECTION**

9.1 County officers shall implement and maintain an effective program to protect records with permanent value from loss through natural- or human-caused disaster. The program must be documented in writing.

## **10. PRESERVATION**

10.1 County officers shall implement and maintain an effective program to:

10.1.1 Migrate copies of the Security Preservation Files and their associated metadata from one environment to another each and every time software or hardware changes make such actions necessary to avoid technological obsolescence; and

10.1.2 Convert copies of the Security Preservation Files and associated metadata from one format to another, as required for preservation and access or to avoid technological obsolescence.

10.2 During each migration or conversion, records shall be accurately converted from the source file to the target file specifications.

10.2.1 The migrated/converted records shall preserve, in the target file, any links to other files found in the source file. It is best not to use hyperlinks in a document if possible. If there are links to external files and the external files form part of the official record, the external files must be captured as PDF/A and migrated. The migrated/converted records shall preserve, in the target file, any functionality (such as searchability or sortability) present in the source file. No data or records shall be lost during the migration/conversion, either through data corruption or failure to convert/migrate (whether caused by system or human error).

10.2.2 Each migration or conversion shall be documented in sufficient detail as to make the migration/conversion process understandable to future technologists who may be required to reconstruct the history of the record migrations/conversions.

10.2.3 A sufficient percentage of records and associated metadata shall be sampled and the sample shall be documented as part of the record of the migration/conversion. The size of the sample shall be determined and documented by the agency responsible for the migration or conversion.

## 11. **STORAGE**

11.1 To ensure that the Security Preservation Files are accessible and useable throughout their life span, county officers must select appropriate media and systems to fulfill the retention requirements of the records. The following provisions are required for the storage and maintenance of the security preservation files.

11.1.1 Records scheduled for permanent retention must be retained in an online environment. Store the Security Preservation Files and associated metadata on a server (or a mainframe acting as a server). The Security Preservation File must not be retained solely on any kind of removable media; copies may be retained on removable media. The Security Preservation Files may be backed up on either paper or microfilm if that proves to be a more cost-effective approach to the long-term maintenance of the records.

11.1.2 Maintain copies of permanently valuable or vital (systems critical) records to provide for disaster recovery and business continuity. The copies shall be designated:

**Security Preservation File copy:** Retain in a live (online) environment and do not use except to create the Backup and Access copies.

**Backup copy of the Security Preservation File:** A copy to be used only in the event of a disaster that disrupts or destroys the Access copy. Retain at a site that is geographically separated from the original Security Preservation Files.

**Access copy:** Use to access the records. Retain locally. May be in the native format.

11.2 To minimize risk of loss, county officers must select appropriate locations and provide appropriate environmental conditions, as detailed in “Guidance for The Form of Permanent Recordation for Judicial and County Offices,” for storage of media and systems used to store electronic records. Counties should develop their own policies.

For additional information contact:

Pennsylvania Historical and Museum Commission  
Bureau of the Pennsylvania State Archives  
1681 North Sixth St  
Harrisburg, PA 17102  
Telephone: (717) 783-7330 or 717-783-9874  
[RA-LocalGovernment@pa.gov](mailto:RA-LocalGovernment@pa.gov)

# 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 State Archives website)**

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 (Dmin) 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  
Bureau of the Pennsylvania State Archives  
1681 North Sixth Street  
Harrisburg, PA 17102  
Telephone: (717) 783-7330 or 717-783-9874  
[RA-LocalGovernment@pa.gov](mailto:RA-LocalGovernment@pa.gov)

# **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. {\*Please note that the Policy Regarding the Form of Permanent Recordation for Judicial and County Offices supersedes the requirements for permanent records. 4/2017}

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 various offices may dictate its use.

5.4.1b Ensure that read/write privileges are carefully controlled and that an audit trail of 5.4.4 Durability. Durability is defined as the shelf rewrites is maintained when rewritable life before writing plus the post-write life of the technology is used. optical disk. To ensure maximum usability, the county officer must:

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,

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 be 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 be stored, or remove dust and other particulates (e.g., fingerprints if media are handled).

For additional information, contact:

Pennsylvania Historical and Museum Commission  
Bureau of the Pennsylvania State Archives  
1681 North Sixth Street  
Harrisburg, PA 17102  
Telephone (717) 783-7330 or 717-783-9874  
RA-LocalGovernment@pa.gov

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)**

### **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, duplicate copies of records 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.

#### **AL-1.1 Records that summarize the origin and administration of major county policies and programs**

*Retain permanently for administrative and historical purposes.*

#### **AL-1.2 Routine correspondence and program files and housekeeping records**

*Retain as long as of administrative value.*

#### **AL-1.3 Duplicate copies of records with permanent retention**

*Retain until a copy of the record is being maintained in conformance with the Policy Regarding the Form of Permanent Recordation for Judicial and County Offices and then 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.

#### **AL-5.1 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.*

#### **AL-5.2 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.

**AL-7.1 Bonds and Coupons**

*Retain 6 years after cancellation.*

**AL-7.2 Bond Ledgers**

*Retain permanently for administrative, legal and historical purposes.*

**AL-7.3 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 the 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.

#### **AL-16.1 Official Minutes**

*Retain permanently for administrative, legal and historical purposes.*

#### **AL-16.2 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.

#### **AL-17.1 Official Minutes**

*Retain permanently for administrative, legal and historical purposes.*

#### **AL-17.2 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.*

### **AL-29 Six-Month Mine Maps**

Pennsylvania state law requires those who wish to conduct mining activities within the Commonwealth submit and get approval by the Pennsylvania Department of Environmental Protection (DEP) for permits related to those activities. Every six months, operators must submit an Exhibit 22.6 Six-Month Subsidence Map that shows which areas inside their approved permit boundary have been mined in the previous six-month period and where the operator plans to mine within the permit boundary in the following six-month period. Maps are given to the county as well as DEP.

*Retain as long as of administrative value.*

## **AGING RECORDS (AG)**

### **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 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)**

### **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)**

### **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)**

### **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 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)**

### **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 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)**

### **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, work papers, 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)**

### **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)

### **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)**

### **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)**

### **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)**

### **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 (EL)**

### **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 52 U.S.C. §§ 20701–20706.

#### **EL-1 Absentee Ballot Records**

Includes absentee ballots, mail-in 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 and 3150.17)*

#### **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 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 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 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. § 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/Electronic Voting Systems 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.

Materials for electronic voting systems should be retained and disposed of in the same manner as paper ballots and related materials.

*Retain 11 months in the same manner as paper ballots and related materials*

*(25 P.S. §§ 2649, 3011(d), and 3031.16(a)).*

**EL-34 Voting Machine/Electronic Voting Systems 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.

Materials for electronic voting systems should be retained and disposed of in the same manner as paper ballots and related materials.

*Retain 11 months in the same manner as paper ballots and related materials*

*(25 P.S. §§ 2649, 3011(d), and 3031.16(a)).*

# **EMERGENCY MANAGEMENT AND COMMUNICATIONS RECORDS (EC)**

## **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)**

### **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 evaluations, 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)**

### **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)**

### **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)**

### **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)**

### **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 evaluations, and copies of tests.

*Retain until superseded or obsolete.*

## **FULL-TIME COUNTY HEALTH DEPARTMENTS (HD)**

Full-time County Health Departments should visit the Pennsylvania State Archives website for copies of the Retention and Disposition Schedule for Full Time Health Departments:

<https://www.pa.gov/agencies/phmc/pa-state-archives/state-records-management/local-government-retention-and-disposition-schedules.html>. Contact the Pennsylvania State

Archives for further assistance:

Pennsylvania Historical and Museum Commission  
Bureau of the Pennsylvania State Archives  
1681 North Sixth St.  
Harrisburg, PA 17102  
Telephone: (717) 783-7330 or 717-783-9874  
[RA-LocalGovernment@pa.gov](mailto:RA-LocalGovernment@pa.gov)

## **INFORMATION TECHNOLOGY RECORDS (IT)**

### **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 re-establishment 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)**

### **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 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)**

### **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)

### **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. Retain lifetime licenses 20 years. (3 P.S. §21.52)*

### **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, INTELLECTUAL DISABILITY, AND HUMAN SERVICES RECORDS (MH)

## **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 Mental Health, Intellectual Disability, and Human Services 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/ Intellectual Disability 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 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/intellectual disabilities 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)**

### **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, emotions, 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)**

### **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.

#### **PL-4.1 Employees Who Separate with Post-Termination Benefits**

Retain 3 years after all benefits have been paid.

#### **PL-4.2 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)**

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

### **PS-8.1 Employees Who Separate with Post-Termination Benefits**

Retain 3 years after all benefits have been paid.

### **PS-8.2 Employees Who Separate Without Post-Termination Benefits**

Retain 5 years after termination of employment.

**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)**

### **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)**

### **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**

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 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 inspectors 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 5 years.*

### **PN-8 Log Books**

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

*Retain 2 years after last entry.*

### **PN-9 Master Inmate Card Files or Database**

Index card file or electronic 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 7 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.*

**PN-15 Inmate Grievances Files**

Information relating to inmate grievance, appeals and to the final review, which includes the initial grievance, initial response, appeal to Warden or designee, official response, and appeal to final review, inquires pertaining to inmate grievances, personal notes from the grievance reviewing officer and exhaustion inquires.

*Retain 5 years unless records have any litigation holds.*

**PN-16 Inmate General Welfare Fund Records**

Consists of non-appropriated funds from the following sources: Inmates' individual accounts, sales from commissary, hobby craft functions, and personal services available to facility employees, vending commissions, and donations from organizations or individuals for the benefit of the inmates.

*Retain until after an audit is completed.*

**PN-17 Misconduct Records**

Tracks the key information and dates for each misconduct, the process, and sanctions.

*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-18 Statistical Reports**

Statistical reports sent to the Department of Corrections.

*Retain 4 years*

## **PUBLIC DEFENDER'S RECORDS (PD)**

### **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)**

### **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)**

### **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)**

### **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)**

### **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.

#### **TC-3.1 All Forms and Petitions**

*Retain permanently for administrative, legal and historical purposes.*

#### **TC-3.2 Distribution Sheets**

*Retain permanently for administrative, legal and historical purposes.*

#### **TC-3.3 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.

### **TC-5 .1 All Forms and Petitions**

*Retain permanently for administrative, legal and historical purposes.*

### **TC-5.2 Distribution Sheets**

*Retain permanently for administrative, legal and historical purposes.*

### **TC-5.3 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.

#### **TC-12.1 Copy of Title Report**

*Retain permanently for administrative, legal, and historical purposes.*

#### **TC-12.2 Distribution Sheets**

*Retain permanently for administrative, legal, and historical purposes.*

#### **TC-12.3 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.*

#### **TC-12.4 Receipts for Payment**

*Retain 3 years.*

## **VETERANS' AFFAIRS RECORDS (VA)**

### **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 (VR)**

### **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 52 U.S.C. §§ 20701–20706 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. (52 U.S.C. §§ 20701). 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) and 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)).

### **VR-8.1 District Register**

*Retain 5 years. (25 Pa.C.S. §1405(a) and 4 Pa. Code § 183.12(b)(2)).*

### **VR-8.2 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)** This form is used by government agencies to offer citizens the option to register to vote. Under the National Voter Registration Act (NVRA), certain agencies are required to offer voter registration services to people applying for benefits or renewing their information. 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. (52 U.S.C. §§ 20701).*

### **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. (52 U.S.C. §§ 20701–20706).*

## **WEIGHTS AND MEASURES RECORDS (WM)**

### **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)

### **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, evidence/exhibits, fingerprint request cards, indictments, information, motions, opinions, orders, petitions, pleas, praecipes, requests, returns of service, rules, stipulations, transcribed testimony, verdicts, waivers, and warrants.

**\*County staff must include the specific citation (i.e. CC-10.1) on disposal logs/PDF-A notifications when disposing of Criminal Papers and Files.**

*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:*

### **CC-10.1 Accelerated Rehabilitative Disposition Cases**

*Retain 7 years after expiration of period of ARD program.*

### **CC-10.2. Dismissed/Not Prossed/Quashed Cases - (Prior to trial in Common Pleas Court)**

*Retain 3 years after final order.*

### **CC-10.3. Inactive Matters Terminated Pursuant to R.J.A. 1901**

*Retain 2 years after termination.*

### **CC-10.4 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.*

### **CC-10.5 First and Second-Degree Murder Cases**

*Retain permanently for administrative, legal and historical purposes. (Guilty and not guilty verdicts.)*

### **CC-10.6 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.*

### **CC-10.7 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.*

### **CC-10.8 Summary Appeal Cases**

*Guilty - Retain 5 years after sentencing.*

*Not Guilty/Withdrawn - Retain 2 years after verdict or withdrawal.*

### **CC-10.9 Docket Transcripts and Papers for Cases Settled at District Justice Level (Clerk's Copy)**

*Retain 3 years.*

### **CC-10.10 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 dependency and delinquency juvenile matters.

*Retain permanently for administrative and legal purposes.*

### **CC-19 Juvenile Papers/Files**

Consists of papers filed in dependency and delinquency 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 Original orders pertaining to adjudication, disposition and consent decrees permanently. All other records are to be retained 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 docket, 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/ mailing, 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 dockets, 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)

### **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)

### **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)

### 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

#### JC-2.1 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.*

#### JC-2.2 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.*

#### JC-2.3 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.*

#### JC-2.4 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)

### **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, evidence/exhibits, executions, exemplifications, interrogatories, memoranda, notes, notices, opinions, orders, petitions, powers of attorney, praecipes, recognizances, requests, releases, reports, returns of service, rules, subpoenas, stipulations, transfers, venire, waivers, and writs of summons.

**\*County staff must include the specific citation (i.e. PY 7.1) on disposal logs/PDF-A notifications when disposing of Civil Papers and Files.**

### **PY-7.1 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.

### **PY-7.2 Change of Name**

*Retain permanently for administrative and legal purposes.*

### **PY-7.3 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.***

#### **PY-7.4 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.*

#### **PY-7.5 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.*

#### **PY-7.6 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.*

#### **PY-7.7 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.*

#### **PY-7.8 Ejectment**

*Retain permanently for administrative and legal purposes. (Does not relate to eviction.)*

#### **PY-7.9 Fictitious Name**

*Retain permanently for administrative and legal purposes. (After March 16, 1983, filed with the Department of State.)*

#### **PY-7.10 Habeas Corpus/Child Custody**

*Retain 20 years after filing of order granting custody if not part of a divorce action.*

**PY-7.11 Inactive Matters Terminated Pursuant to R.J.A.1901**

*Retain papers 1 year after termination.*

**PY-7.12 Involuntary Dissolution**

*Retain permanently for administrative and legal purposes.*

**PY-7.13 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.*

**PY-7.14 Mental Health**

*Retain hearing tapes or stenographic records 1 year after proceedings.*

*Retain papers 10 years after date of filing.*

**PY-7.15 Mortgage Foreclosure**

*Retain permanently for administrative and legal purposes.*

**PY-7.16 Non-Profit Corporation**

*Contact State Archives for information about implementation of 15 Pa.C.S. §140.*

**PY-7.17 Paternity**

*Retain permanently for administrative and legal purposes.*

**PY-7.18 Peddlers' Licenses**

*Retain permanently for historical purposes at county archives or contact State Archives regarding transfer.*

**PY-7.19 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.*

**PY-7.20 Protection from Abuse**

*Retain 1 year after termination of protection order.*

**PY-7.21 Quiet Title**

*Retain permanently for administrative and legal purposes.*

**PY-7.22 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 (filing) 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. If filing is continued, retain entire filing chain 1 year after lapse date of last filing. (13 Pa.C.S. § 9522).*

### **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)

### **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 (filing) 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. If filing is continued, retain entire filing chain 1 year after lapse date of last filing. (13 Pa.C.S. § 9522).*

## **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)

## **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 Appraisal 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)

### **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 507. RECORD RETENTION SCHEDULES

## ( a ) Offices Scheduled by the County Records Committee. Counties of the First Class.

(1) **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.).

(2) **Counties of the First Class.** Prothonotaries, Clerks of Courts, Clerks of Orphans' Courts, Registers of Wills, and Jury Commissioners of counties of the first class when disposing of records shall do so in conformity with the record retention schedules and the conditions stipulated therein promulgated from time to time by the County Records Committee for counties of the second through eighth classes under the act of August 14, 1963 (P.L. 839, No. 407) (16 P.S. section 13001 et seq.), as amended.

(b) **Offices Scheduled by the Supreme Court.** System and related personnel engaged in clerical functions in offices which support the 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 record retention and disposition schedules and the conditions stipulated therein.

(c) **Non-scheduled offices.** System and related personnel in offices not covered under subdivisions [A or B] (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.

(d) **Disposal Certification Requests. Disposal Logs.** All requests for disposition of permanent records shall be made on forms adopted from time to time by the Administrative Office of Pennsylvania Courts. No permanent records may be disposed unless authorization is sought, and received, utilizing the appropriate disposal certification request form. All non-permanent records disposed upon expiration of the retention period provided in the applicable record retention and disposition schedules shall be listed on record disposal log forms adopted from time to time by the Administrative Office of Pennsylvania Courts. The record disposal log forms shall be filed

with the Administrative Office of Pennsylvania Courts on an annual basis, or as otherwise provided by the Administrative Office of Pennsylvania Courts.

***Explanatory Note:*** *The record retention schedules promulgated by the County Records Committee are only applicable to county offices of counties of the second through eighth classes, since the County Records Act, as amended, is only applicable to counties of the second through eighth classes. Accordingly, none of the county offices of the counties of the first class are governed by the County Records Act. Nonetheless, many of the county offices of the counties of the first class which support the Unified Judicial System unofficially utilize the record retention schedules promulgated by the County Records Committee in disposing official records within their control. In order to foster uniformity among these offices, subsection (a)(2) was added, specifically listing the offices within the counties of the first class which must henceforth comply with the record retention schedules promulgated by the County Records Committee.*

# APPENDIX II (a) 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 Pennsylvania State Archives.

- (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 II(c)

### Notification of permanent county records to be kept electronically or in microfilm

This form must be completed in **each instance** that a county will maintain records electronically—whether scanned or born digitally—or in microfilm in order to satisfy permanent retention.

1. County: \_\_\_\_\_
2. Office of Origin: \_\_\_\_\_
3. Mailing Address: \_\_\_\_\_
4. Contact Person: \_\_\_\_\_
5. Phone: \_\_\_\_\_
6. Email: \_\_\_\_\_
7. Records Title: \_\_\_\_\_
8. Retention Period in Records Manual: \_\_\_\_\_
9. Citation in Records Manual: \_\_\_\_\_
10. Date range of records \_\_\_\_\_
11. Do you intend to dispose of physical records (paper, film, etc...) after their digitization or filming?  
Yes\_\_\_\_ No\_\_\_\_
12. Physical volume of records to be disposed of (cubic feet, number of boxes, etc...)\_\_\_\_\_

This form serves as notification that the records series described above are permanent or long-term official records that will be maintained in microfilm or PDF/A format, a specific variation of PDF designed for long-term preservation, in accordance with the policy standards and guidelines approved by the County Records Committee and in force on the date of this certification. I understand that the county is responsible for the quality of the security preservation copies, their verification, protection, offsite backup, and continued storage in accordance with policy. These records shall be available for review by the Pennsylvania Historical and Museum Commission (PHMC) for verification purposes.

SIGNATURE OF COUNTY OFFICER

TITLE

DATE

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ACKNOWLEDGEMENT BY PHMC REPRESENTATIVE

TITLE

DATE

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## APPENDIX III 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 non-reversed 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 non-gelatin 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 IV INDEX

## 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

<b>AC</b>	Arts Council	<b>IT</b>	Information Technology
<b>AE</b>	Agriculture Conservation Easement Program	<b>JC</b>	Jury Commissioners
<b>AG</b>	Aging	<b>JD</b>	Juvenile Detention
<b>AL</b>	Administrative and Legal	<b>LR</b>	Licensing and Registration
<b>AV</b>	Aviation	<b>LY</b>	Library
<b>CA</b>	Consumer Affairs	<b>MH</b>	Mental Health and Mental Retardation
<b>CC</b>	Clerk Of Courts/Clerk of the Criminal Division	<b>PD</b>	Public Defender's
<b>CD</b>	Conservation District	<b>PG</b>	Purchasing
<b>CH</b>	County Home	<b>PL</b>	Payroll
<b>CN</b>	Coroner	<b>PN</b>	Prison
<b>CT</b>	Convention and Tourist Bureau	<b>PR</b>	Parks and Recreation
<b>CY</b>	Children and Youth	<b>PS</b>	Personnel
<b>DA</b>	District Attorney	<b>PY</b>	Prothonotary/Clerk Of The Civil Division
<b>DG</b>	Drug and Alcohol	<b>PZ</b>	Planning and Zoning
<b>EC</b>	Emergency Management and Communications	<b>RD</b>	Recorder Of Deeds
<b>ED</b>	Economic Development and Redevelopment	<b>SF</b>	Sheriff
<b>EL</b>	Election	<b>SL</b>	Solicitor's
<b>EP</b>	Engineering and Public Works	<b>TA</b>	Tax Assessment
<b>ES</b>	Emergency Medical Services	<b>TC</b>	Tax Claim
<b>FM</b>	Fire Marshal	<b>VA</b>	Veterans' Affairs
<b>FN</b>	Financial	<b>VR</b>	Voter Registration
<b>FS</b>	Fire School	<b>WM</b>	Weights and Measures
<b>HD</b>	Full-Time County Health Departments	<b>WO</b>	Register Of Wills/Clerk Of Orphans' Court

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