

# ENTERPRISE RECORDS ACTION SYSTEM (ERAS) 2018

## USER MANUAL FOR AGENCY RECORDS COORDINATORS



### Records Action System

Select the type of Record Action you want to create for your agency-specific retention schedule

['Add' a new record series>](#)

[Records Coordinator User Manual](#)

['Amend' an existing record series>](#)

[Agency Records Legal Liaison User Manual](#)

['Delete' an existing record series>](#)

[Agency Heads\(or Designees\) User Manual](#)

[Track my Agency Submitted Packages>](#)

[View Package Submission\(s\) >](#)

#### **User Options**

Display optional fields that the agency may choose to complete

**\*To request an exception from the General Records Retention Schedule, optional fields must be displayed.**

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## I. USER TIPS:

1. To return to the Home page from any section of ERAS, click on the Save & Close button at the bottom of each Section or the **PA Pennsylvania** logo at the top of each page.
2. Click on the [blue information circles](#) with the lower case **i** for guidance and instruction of what to enter in that field

If you are not receiving auto notifications from ERAS, check your Junk-email inbox in Outlook.

3. To navigate backward or forward between sections, click on the preferred section of the section bar at the top of the page or use the Navigation Buttons at the bottom of the page.
  1. **Previous** – Click to go back a section.
  2. **Save & Close** – Click to save and exit when you have partially completed the fields within a section and you need to exit the system and finish the records action later.
  3. **Next** – Click to move to the next section. Clicking Next saves the information entered previously.

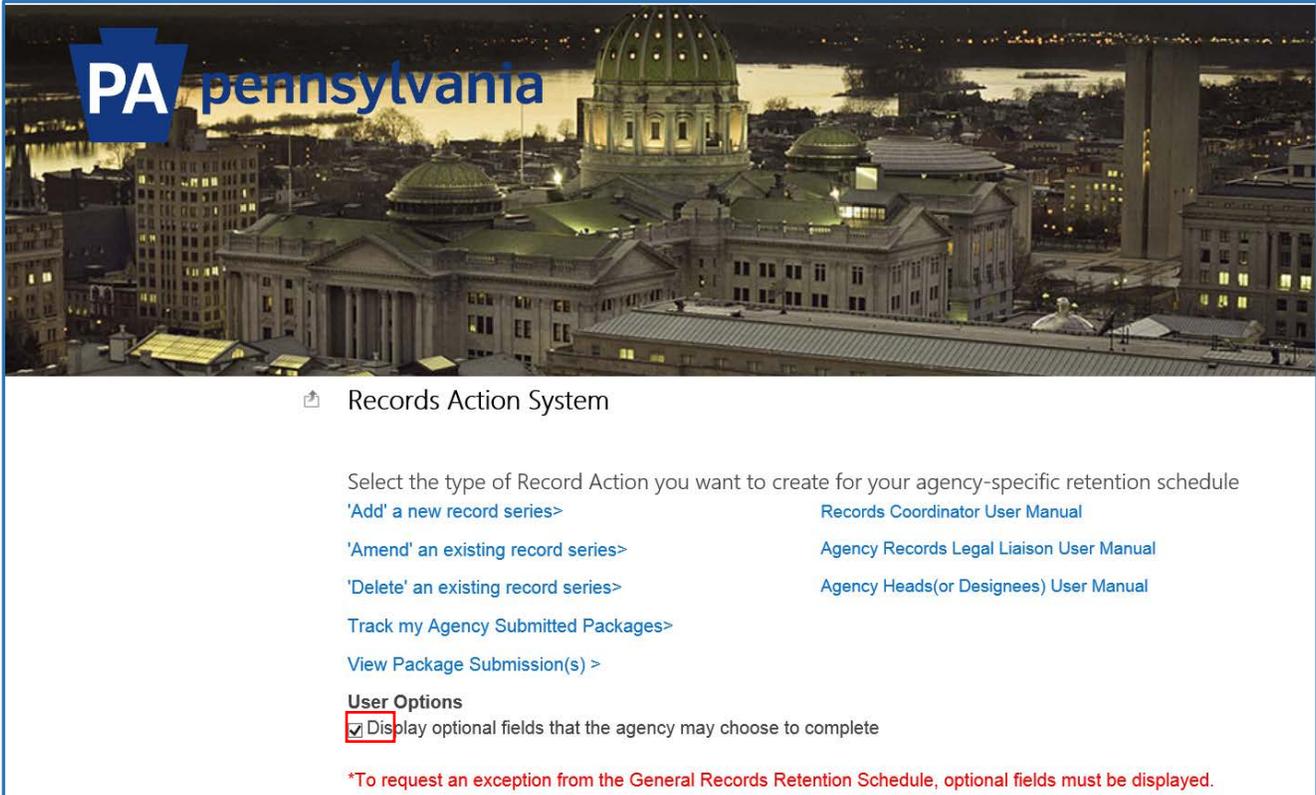
Section 1 Contact Information	Section 2 Descriptive Information	Section 3 Disposition and location	Section 4 Justification Analysis	Section 5 Exception from General Records Retention Schedule	Section 6 Electronic Records
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4. If you have a 10-digit bureau code that contains a letter or an 8-digit record series number that contains a letter, other than a letter suffix at the end or decimal points, **\*Do Not Enter** the letters or decimal points. Enter the number in the Bureau Code or Record Series Number field then in Record Notes, notate the “correct” number including the decimal point and/or letter for the PHMC to accurately update your agency-specific records retention and disposition schedule (RRDS).
5. Do not use acronyms for Bureau or Division names. If using acronyms in any other section fields, enter the full spelling of the term or phrase followed by the acronym in parenthesis at first use of the term or phrase.
6. Do not enter asterisks or any other non-numerical characters in the Agency or State Records Center (SRC) retention numeric fields as this causes a system error message and you will not be able to submit the package.
7. When creating record action packages, submit one bureau per package, even if there is only one action for a single bureau.
8. The Essential Records field options in Section 3, Disposition and Location, will be defaulted as **No**. If the records in this records action are deemed essential by your agency, click the circle for **Yes**.
9. When a package at any approval level in ERAS is rejected, it will appear in the Track my Agency Submitted Packages and View Package Submission(s) table summaries

on the Home page. Be sure to monitor these two table summaries when you have pending records action packages.

10. Mandatory fields are indicated by a **\*red asterisk**.
11. The use of (M)-Multiple formats can only be used if the formats have the same retention period.
12. When submitting a deletion request for your agency-specific RRDS, be sure to account for all the inventory that may still exist in your agency or at the SRC
13. To delete a record sequence out of a package, from the Review screen click on [Delete Action](#) at the end of the record line. This changes the status line from Saved to Deleted.
14. To delete an entire package, delete each records action sequence in the package by following the steps above until the records action package number has disappeared. Once the Approve button in Section 8 is clicked, you will no longer be able to delete records or packages.
15. If record inventories still exist in the agency or SRC, you may not delete the record series from your retention schedule.

**Note:** *User Manuals are available for the Agency Records Legal Liaison and Agency Head (or designee).*



## II. Home Page

When accessing ERAS, the first screen displayed is the Home page. To complete optional fields, click in the box next to 'Display optional fields. If you prefer to only complete **mandatory\*** fields, uncheck this box. If you need to request an exception from the General Records Retention Schedule, check this box. This user manual is written from the perspective that the optional fields are displayed to illustrate how all fields are to be completed.

When starting from the Home page, select one of the following options to either create a new records action package or to access an existing open records action package that was previously created:

- A. Add a new record series** – Click on this option if you need to add a new records series to your agency-specific RRDS
- B. Amend an existing record series** – Click on this option if you need to amend an existing records series on your agency-specific RRDS.
- C. Delete an existing record series** - Click on this option if you need to delete an existing records series on your agency-specific RRDS.
- D. Track my Agency Submitted Packages** - Click on this option to track the package approval status of records action packages created in your agency.

**Note:** you will only see a status table if packages exist in your agency as shown below.

Package Name	Package Status	Created Date
<a href="#">RA-2018028</a>	LL Review	4/16/2018 1:27:17 PM
<a href="#">RA-2018027</a>	Open	4/12/2018 1:10:49 PM
<a href="#">RA-2018026</a>	Open	4/11/2018 8:55:25 AM
<a href="#">RA-2018025</a>	Submitted	4/6/2018 1:47:43 PM

- E. View Package Submission(s)** – Click on this option to add more records to or review an existing records package that was previously created and saved in open status. Click this option, a Select Package table displays indicating the package number, agency name, package (approval) status, and the date and time created. **Note:** Packages in the Select Package table will display if open or rejected packages exist as shown below. An open package indicates that the Records Coordinator (RC) has not completed and submitted the package and can make edits to the package.
- F. Records Coordinator User Manual** – Click here for immediate access to this user manual while using ERAS.
- G. Agency Records Legal Liaison User Manual** - Click here for immediate access to this user manual while using ERAS.
- H. Agency Heads (or Designees) User Manual** - Click here for immediate access to this user manual while using ERAS.

Select Package:			
Package Number	Agency	Package Status	Created Date
<a href="#">RA-2018027</a>	Office of Administration	Open	4/12/2018 1:10:49 PM
<a href="#">RA-2018026</a>	Office of Administration	Open	4/11/2018 8:55:25 AM
<a href="#">RA-2018025</a>	Office of Administration	Archivist Rejected	4/6/2018 1:47:43 PM

### III. Create a New Package or Include Records into an Existing Package

- A. To create a new records action package**, click on Create new package to enter your records action information for all Add, Amend, and/or Delete actions to the RRDS
- B. To include more records in an existing open records package**, from the Create New screen, click the arrow in the drop-down box that says Choose Package, click on the appropriate package number marked as Open. Click the Add to an existing package box.

 CreateNew

Record Retention - Create New

Create New Package or Add a new records action to an existing package.

**Note: One bureau per package.**

Choose this option to create a new package

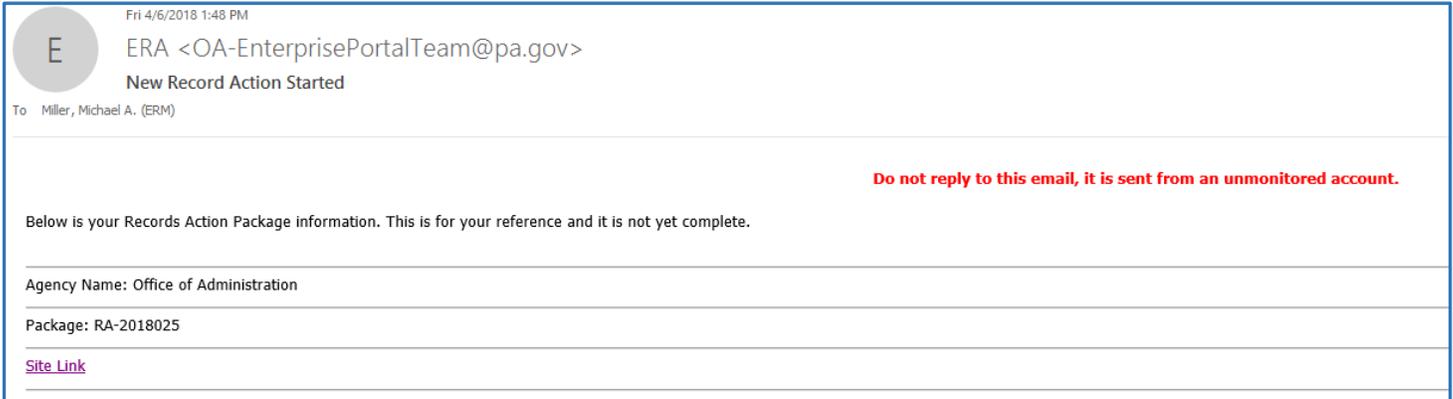
Choose this option if you want to add more Records actions and there is already a package created

Choose this option if you want to add more Records actions and there is already a package created

Choose Package  
 RA-2018027-Open  
 RA-2018026-Open

#### IV. Create an Add Records Action.

From the Home page, click on 'Add' a new record series. When the Create new package box is clicked, the Create New screen displays, and a new records action package is automatically generated. An automated notification is sent from the system to the RC's email address.



#### A. Section 1: Contact Information.

RecordRetention - Section1

Section 1  
Contact Information

**COMMONWEALTH OF PENNSYLVANIA**  
Records Action Request: Addition or Amendment to Records Retention and Disposition Schedule

Records Action Package Name: RA-2018025  
Record Number: RA-2018025-001

**Section 1: Contact Information**

Agency/Department Code: 081A - Office of Administration  
Organization Code (Bureau/SAP Cost Center Code): 8113040000  
Bureau: Office of Continuity and Records Information Management  
Division: Records  
Contact Person/Telephone: Miller, Michael - 717-705-2776

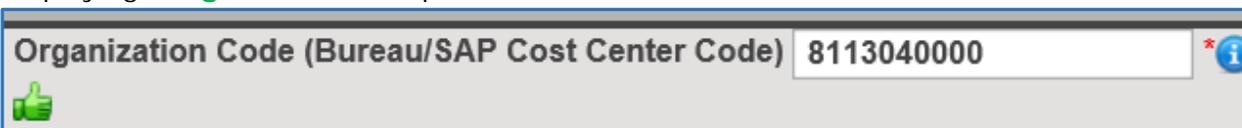
Save & Close    Next

**Records Action Package Name** – This is the records action package number that you are currently working on, RA-2018025.

**Record Number** – This is the records action sequence number in the package that you are currently working on, RA-2018025-001. For each records action sequence created, the system will assign a record number within the package.

**Agency/Department Code** – This field is pre-filled with your agency number and name. If not, click the drop-down arrow and select your agency.

**Organization Code (Bureau SAP Cost Center Code)** - 10 digits are required in this field. When you've entered 10 digits, the system will indicate that it's okay to move to the next field by displaying the green thumbs up.



**Bureau** - Enter the name of the bureau that the records action is for. Spell out bureau names and avoid using acronyms.

**Division** – Enter the name of the division that the records action is for, if applicable.

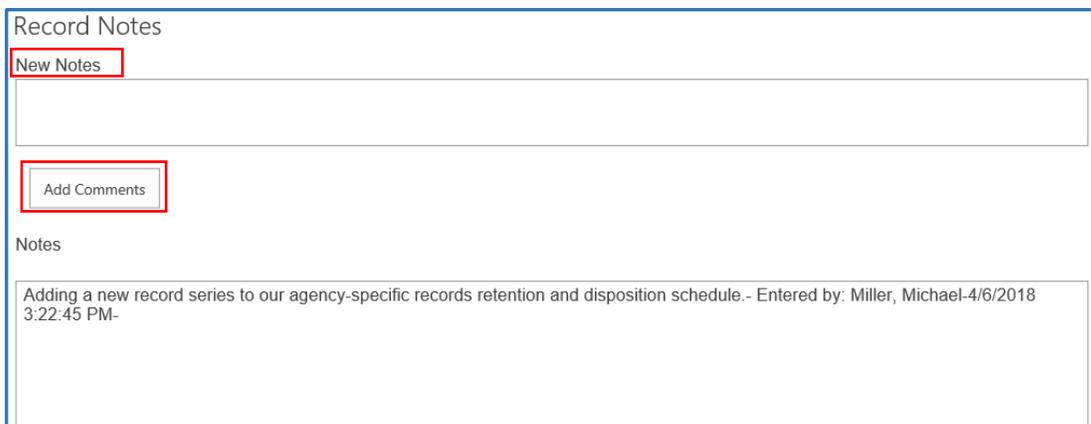
**Contact Person/Telephone** – This is pre-filled with the Agency RC’s name and phone number.

**Save & Close** – Click this button when you have partially completed the fields within a Section and you need to exit the system and finish the records action at a later time.

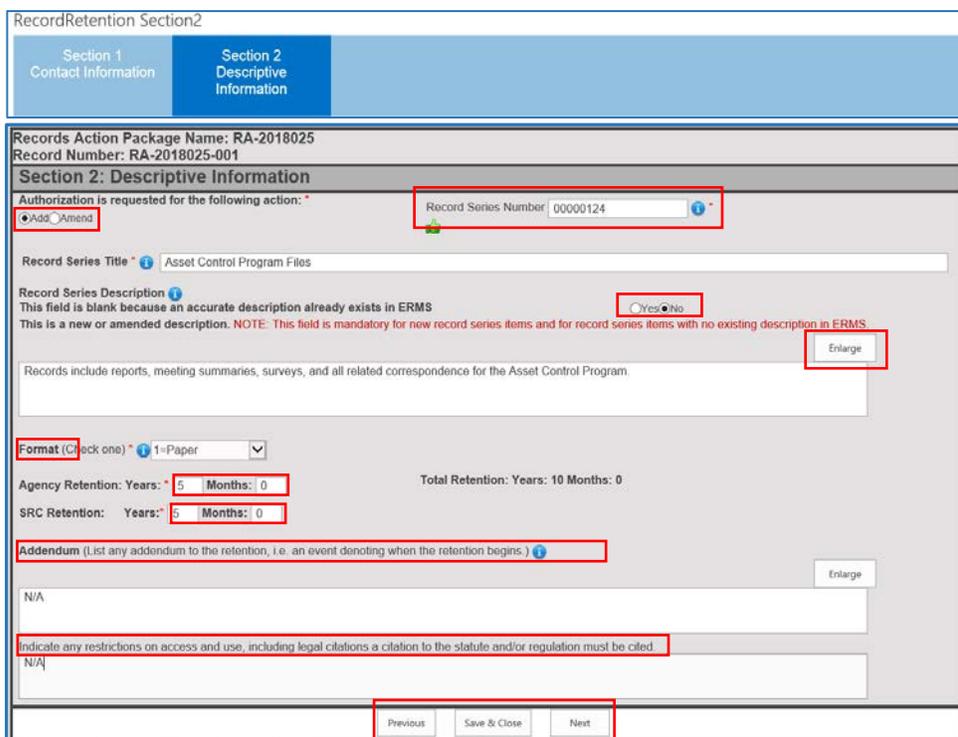
**Next** – Click this button when finished with this section and are ready to go to Section 2.

**Record Notes** – This field is for the RC and all workflow Approvers to communicate issues, explanations, inventory levels, and reason(s) for rejections during the review and approval process. Although Record Notes appears on each screen throughout the sections, entering notes/comments on any screen will display the notes in every section.

To add Record Notes from any section of the system, click in the New Notes box and enter your notes. When finished, Click the Add Comments box and the notes/comments will populate in the Notes box. The system will identify and log the author, date and time of all notes/comments entered.



## B. Section 2: Descriptive Information.



**Authorization is requested for the following action:**

**Add Amend** - Click in the circle for an Add records action type. If Amending a record series, click Amend.

**Record Series Number** - Enter your record series number. The field requirement is 8 digits. If you have a letter suffix in your record series number, add the suffix at the end of your 8 digits. For example, 00000124A.

**Record Series Title** - Enter the name of the record series that you are adding to the schedule.

**Record Series Description** – A description must be entered for all new records and for those records that currently exist on the RRDS without a description. This is a new record so Click No. Enter a record series description and examples that support the purpose and use of this records series

**Enlarge Buttons** – Expand the box to provide additional space if needed.

**Format (check one)** - Click and select the appropriate records format. If the records for this series exist in multiple formats, i.e. paper and electronic, and share the same retention, select the multiple format option (M).

**Agency Retention** - Enter the required retention period needed in Years and Months. If there is no retention, add a zero. A zero could also be used if the addendum justifies the retention.

**State Records Center (SRC) Retention** – Enter the required retention period needed in Years and Months. If there is no retention, add a zero.

**Total Retention** –The system calculates the total retention after you enter retention periods for the Agency and/or Agency and SRC.

**Addendum**– Enter the event that triggers when the retention period begins, (e.g. 4 years after end of the contract; 2 years after audit, etc.) when applicable.

**Indicate any restrictions on access and use, including legal citations, a citation to the statute and/or regulation must be cited** –Enter restrictions that apply to the release of the records (e.g. HIPAA; Act XYX, etc.)

**C. Section 3: Disposition and Location.**

**Disposition Code (Select one)** - Click the drop-down box and select the records disposition code for the records series.

**Location of Records** – Enter all locations of where the records currently exist (e.g. Filing cabinet, network shared drive, system, database, etc.)

**Note:** The field holds an unlimited amount of characters however, only the first 20-23 characters are displayed. Click the field box and use the keyboard right arrow key to navigate and see the remaining content.

**Type of Location Space** – Check all options that apply.

**Inclusive Dates of Record** – Enter the Start date of when the records were first created or first existed. (e.g. 03/2014, 2014, etc.). Enter the End date for when the records are no longer created or no longer exist in agency or at the SRC. (e.g. 06/2016, 2016, Present, etc.) if records exist and are still created.

**Arrangement** – Click and select the appropriate option.

**Other** – Complete if the records arrangement is something other than the options provided in the Arrangement field.

**Series Cut-Off** – Click the appropriate option.

**Essential Records?** – The default is No. Click Yes if record is needed to support critical functions during a Continuity of Operations (COOP) event. If unsure, have a conversation with your Agency COOP Manager.

**Frequency of Reference** – Click the option that applies.

**Annual Accumulation** – Select the appropriate volume. For assistance with calculations and measurements, Click on the [blue information circle](#).

**Current Volume** - Select the appropriate size option.

**Audited?** – Click yes if the record is audited. Click No if there is no audit requirement.

**If Audited, By Whom?** – Enter the name of the entity that performs the audit (e.g. Auditor General, peer audit, Federal Govn't., etc.)

#### D. Section 4: Justification Analysis.

RecordRetention - Section4

Section 1 Contact Information    Section 2 Descriptive Information    Section 3 Disposition and location    **Section 4 Justification Analysis**

Records Action Package Name: RA-2018025  
Record Number: RA-2018025-001  
Record Series Number: 00000124

**Section 4: Justification Analysis**

**Retention Justification\***  
(For new record series, justify the retention period below OR if amending the series retention period, indicate current retention and justify change below.)  
These files contain surveys which are completed every 5 years. The staff will need to reference current surveys for 5 years in the agency.

**Legal Citation**  
If retention period is based on a legal requirement, provide the specific legal citation or regulation):  
N/A

**Disposition Justification** (required for disposal code 7 only)  
Justify the disposition. If amending the disposition code, indicate current code.  
Complete this field only if requesting to use disposition code 7 - Agency and State Archives Review, for 100 year retention only.

**Duplicates/Copies**  
If a duplicate or other copies of this record series exists, is this series: The Official Record Copy  
If other copies exist, list related series by their record series numbers:

Previous    Save & Close    Next

**Retention Justification** - Enter the reason(s) of why the retention indicated in Section 2 is needed or required. Include business needs, requirements, and regulations when applicable. If Amending an existing record series, indicate current retention.

**Legal Citation** – When applicable, enter legal requirements, legal citations, or regulations that govern the retention of this records series.

**Disposition Justification**– Complete this field only for disposition code 7 100-year retention (Review - Agency & Archives)

**Duplicates/Copies** – Select: The Official Record copy, A security copy, or A duplicate copy. If other copies exist in other records series numbers on your schedule, enter the records series numbers of the related records.

**E. Section 5: Exception from General RRDS.**

RecordRetention - Section5

Section 1 Contact Information	Section 2 Descriptive Information	Section 3 Disposition and location	Section 4 Justification Analysis	Section 5 Exception from General Records Retention Schedule
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Records Action Package Name: RA-2018025  
 Record Number: RA-2018025-001  
 Record Series Number: 00000124

**Section 5: Exception from General Records Retention Schedule**

General Records Retention and Disposition Schedule record series number from which exception is sought: G001.007 - Program Administration Files

**Reasons for exception request (check all that apply):**

- Document and maintain an essential program activity
- Retain oversight and audit of an activity for a required period of time
- Support oversight and audit of an activity for a required period of time
- Fulfill legal requirements (Provide specific citation, regulation, law, etc)
- Permit appropriate public access
- Accommodate frequency of reference
- Manage volumes of records
- Contains security issues such as classified and/or restricted records
- Vital Record Security Copy
- Other requirements not addressed above:

**Provide the specific business needs and/or operational requirements for the above checked items:**

Staff will need to access these records for a total of 10 years. G001.007 - Program Administrative Files only has a total of 8 years retention with no SRC retention indicated.

Previous Save & Close Next

**General RRDS:** - Click and select the record series from the General Schedule that you are making an exception from.

**Reasons for exception request:** – Check all exceptions that apply.

**Provide the specific business needs:** - Enter the specific business needs and/or requirements that support items checked in Reasons for exception request.

**F. Section 6: Electronic Records.** It is recommended to consult with your agency IT Department or bureau IT liaison before completing Section 6.

**Note:** In Section 2, if options B=Electronic, C=Portable Media, or M=Multi-Format are not selected, Section 6: Electronic Records, will **not** display. The system will take you directly to the Review Section, see Section VII.

RecordRetention - Section6

Section 1 Contact Information	Section 2 Descriptive Information	Section 3 Disposition and location	Section 4 Justification Analysis	Section 5 Exception from General Records Retention Schedule	<b>Section 6 Electronic Records</b>
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Records Action Package Name: RA-2018026  
Record Number: RA-2018026-001  
Record Series Number: 00000123B

**Section 6: Electronic Records**

IT CONTACT.  
Name: John Smith  
Telephone: 717-555-1212  
Application/System Title - Include System ID if applicable  
Case Files

Processing/Architectural Platform Client Server  
Data Source/ Data Platform Same as Processing Platform PDFs

Input. How is the data collected and entered?  
 By Paper  
 By Electronic Input  
 Physical Media  
 Electronic Filing (i.e. web-based forms, telefile, etc...)  
 File Transfer Protocol  
 Is Input Retained? Yes

If input is retained, list the records series item number(s). 123B

Output. Are outputs generated?  
 Electronic Output  
 Microfilm  
 Computer Output Microfilm (COM)  
 Paper  
 Other

Is Output Retained? No  
 If output is retained, list the record series item number(s).

Will data be migrated when system is updated or changed? Yes

Active Storage Shared Drive  
 Active Storage Location OA Server Farm Data  
 Inactive Storage Choose One  
 Inactive Storage Location Choose One

Previous Save & Close Next

**IT Contact**– Enter the name and telephone number of the person to contact within the technical area for this application/system. Telephone numbers require the area code.

**Application/System Title** – Enter the name of the application/system as known by staff. Include the system ID number if known.

**Processing/Architectural Platform** – Select the applicable processing platform. If the processing platform is other than the options provided, indicate the other in the box on the far-right hand side.

**Data Source/Data Platform** - Select the applicable source platform. If the Data or platform source is other than the options provided, indicate the other in the box on the far-right hand side.

**Input** – How is the data collected and entered? Check all options that apply.

**Is Input Retained?** – Select Yes or No.

**If Input is retained:** – Enter the associated record series item number(s), if the record is kept after being entered into the system.

**Output** – Are outputs generated? Check all options that apply.

**Is Output Retained?** - Select Yes or No.

**If Output is retained:** - Enter the associated record series item number(s), if the record is kept.

**Will data be migrated?** - Select Yes or No.

**Active Storage** - Select the option for the format of the records.

**Active Storage Location** – Select where the active records are stored.

**Inactive Storage** - Select the option for the format of the records when they are no longer active.

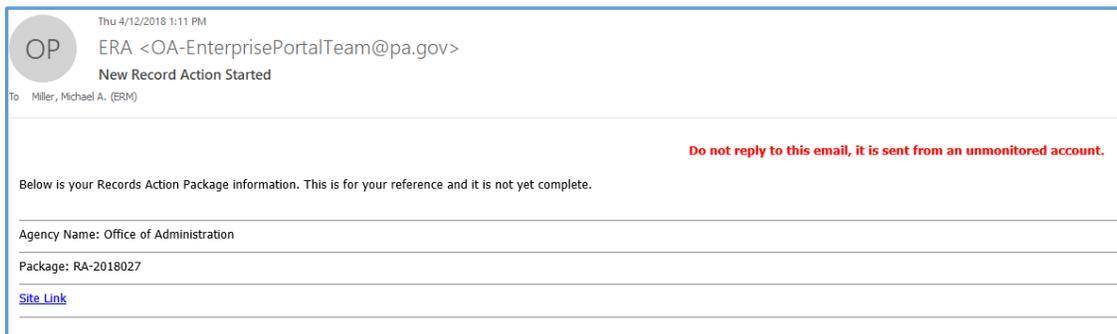
**Inactive Storage Location** - Select where the inactive records are stored.

## V. Create an Amend Records Action.

To create an Amend records action, click Amend on the Home Page and follow the same steps as creating an Add records action.

## VI. Create a Delete Records Action.

From the Home page, click Delete. Click Create New Package. The screen below displays. A new records action package is generated, and an automated notification is sent from the system to your email address.



**A. Section 1: Contact Information.** Same steps as for an Add or Amend records action.

**B. Section 2: Delete Justification.**

The screenshot shows a web form titled 'RecordRetention - Section2Delete'. It has two tabs: 'Section 1 Contact Information' and 'Section 2 Delete Justification', with the second tab selected. The form contains the following fields and sections:

- Records Action Package Name: RA-2018027
- Record Number: RA-2018027-001
- Record Series Number: 00000008
- Record Justification to Deletion Justification (please provide the reason for the deletion below):
- Authorization is requested for the following action:  Delete
- Record Series Number\*: 00000008
- Record Series Title\*: Program Reports
- Format (Check one)\*:  Paper
- Agency Retention: \* Years: 3 Months: 0
- Total Retention: Years: 5 Months: 0
- SRC Retention: \* Years: 2 Months: 0
- Deletion Justification (Please explain reason for the Deletion) \*: Program Reports are no longer created or maintained since 2010 and no records exist in the agency or the SRC.
- Navigation buttons: Previous, Save & Close, Next

**Authorization is requested** – The default is delete from the section 1 records action type.

**Record Series Number:** – Enter the record series number of the item deleting (field requirement is 8 digits). If there is a letter suffix in your record series number, add the suffix at the end of the 8 digits. For example, 00000008**A**.

**Record Series Title** - Enter the name of the record series that you are deleting.

**Format (check one)** - Select the record format.

**Agency Retention** - Enter the retention period that currently exists on the agency RRDS. If there is no retention, add a zero.

**State Records Center (SRC) Retention** – Enter the existing retention period in Years and Months. If there is no retention, add a zero.

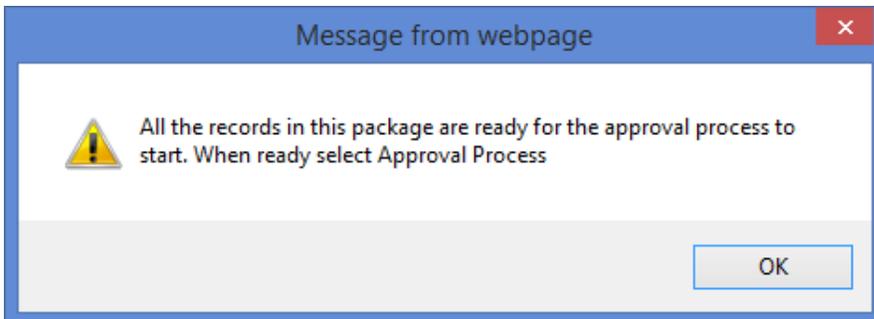
**Total Retention** – The system calculates the total retention after you enter retention periods for the Agency and/or Agency and SRC.

**Deletion Justification** - Explain why the records series is being deleted from the agency RRDS. If records can be cross-walked to the General Schedule, identify the General schedule number in the justification.

**Note:** If records still exist in the agency or SRC, you may not delete a record series from your RRDS.

## VII. Review Screen, for an Add, Amend, and Delete

After completing all records actions within a package, Click Next. The following message displays.



Click OK. The **Review** screen displays.

Review

Record Retention - Review

<b>Package #: RA-2018025</b>		<b>Package Status: Open</b>				
Save and Add Another to This Package		Add new as: <input type="radio"/> Add <input type="radio"/> Amend <input type="radio"/> Delete				
Start New Package		Add new as: <input type="radio"/> Add <input type="radio"/> Amend <input type="radio"/> Delete				
<input type="radio"/> Approval/Rejection Process						
<b>Records for this package</b>						
Record Number	Record Series Number	Package	Action Type	Status	Ready To Submit	Delete Action
RA-2018025-001	00000124	RA-2018025	Add	Saved	Yes	<input type="checkbox"/> Delete Action

**Package Status:** – The package status of open indicates the package has not been submitted for Internal agency review and approval.

**Save and Add Another to this Package** – Use this to include more records actions in a package. Click the records action type (e.g. Add, Amend, Delete) Then Click Save and Add Another to This Package.

**Start New Package** – Use this to start a new records action package. Click the records action type (e.g. Add, Amend, Delete) then click on ‘Start New Package’

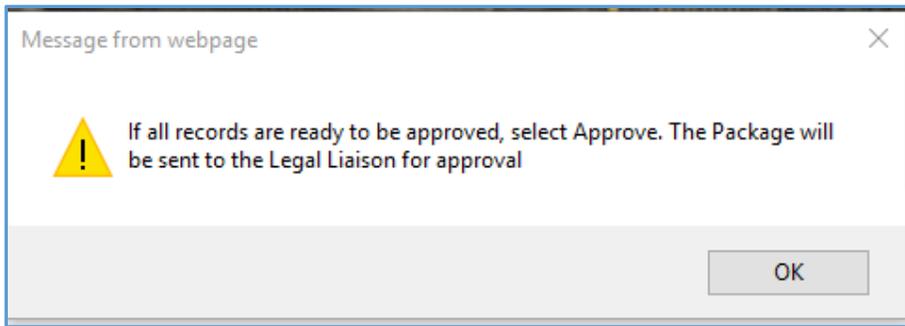
**Approval/Rejection Process** – If there is no other records to include in this package, Click Approval/Rejection Process. Section 8: Approvals displays (see Part VIII).

**Records for this package** – Provides a table summary of all the records action sequences included in the package.

**VIII. Approval Screen:**

Internal approval starts when the RC is finished with a records action package and the Approval/Rejection Process is Clicked on the Review screen. The Agency Records Legal Liaison (LL) and Agency Head (AH or designee) will review and approve the records action package(s). Their steps are identical.

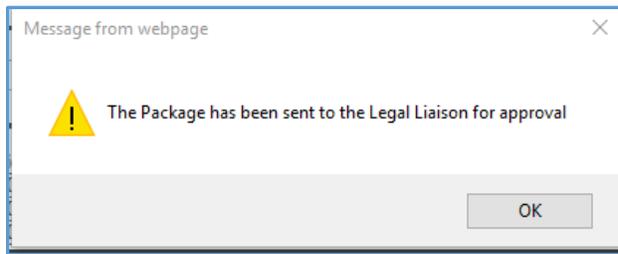
Click Approval/Rejection Process. The following message displays. Click Ok.



The Approval screen displays.

RecordRetention - Section8						
<b>Package Name: RA-2018025 - Status: Open</b>						
<b>Section 8: Approvals</b>						
Records Coordinator	Name: <input type="text"/>				Status:	Date: <input type="text"/>
Approval	<input type="button" value="Approve"/>					
Legal Liaison Approval	Name: <input type="text"/>				Status:	Date: <input type="text"/>
	<input type="button" value="Approve"/>	<input type="button" value="Reject"/>				
Agency Head Approval	Name: <input type="text"/>				Status:	Date: <input type="text"/>
	<input type="button" value="Approve"/>	<input type="button" value="Reject"/>				
Records in this Package						
Record Number	Record Series Number	Action Type	Status	Delete Record		
RA-2018025-001	00000124	Add	Saved	Not Deletable		
RA-2018025-002	00000444	Amend	Saved	Not Deletable		
RA-2018025-003	00000123	Delete	Saved	Not Deletable		

**A. Records Coordinator Approval** – When the package(s) are ready for agency legal review, Click Approve. A message displays, Click OK.



An automated notification is sent to the LL which provides a link to Section 8: Approvals.

From: ERA <QA-EnterprisePortalTeam@pa.gov>  
 Sent: Friday, April 13, 2018 3:29 PM  
 To: Jones, Shirley (OA) <shirjones@pa.gov>  
 Subject: Records Action-Request for Legal Liaison Approval

**Do not reply to this email, it is sent from an unmonitored account.**

Miller, Michael, Agency Records Coordinator has prepared and reviewed the Records Action and it is ready for legal review and approval. If you have any questions please email Miller, Michael at [miamiller@pa.gov](mailto:miamiller@pa.gov) or call at 717-705-2776.

Agency Name: Office of Administration  
 Package: RA-2018025

[Site Link](#)

The package status changes from **Open** to **LL Review** and your email address and the date/time will populate in the Records Coordinator Approval section of this block.

RecordRetention - Section8

**Package Name: RA-2018025** **Status: LL Review**

Section 8: Approvals

Records Coordinator Approval	Name: <input type="text" value="miamiller@pa.gov"/>	Status: Approve	Date: <input type="text" value="4/13/2018 3:28:42 PM"/>
Legal Liaison Approval	Name: <input type="text"/>	Status:	Date: <input type="text"/>
Agency Head Approval	Name: <input type="text"/>	Status:	Date: <input type="text"/>

Record Number	Record Series Number	Records in this Package	Action Type	Status	Delete Record
<a href="#">RA-2018025-001</a>	00000124		Add	Saved	Not Deletable
<a href="#">RA-2018025-002</a>	00000444		Amend	Saved	Not Deletable
<a href="#">RA-2018025-003</a>	00000123		Delete	Saved	Not Deletable

**Package Summary**

Agency Name: Office of Administration  
 Agency Number: 081A  
 Type: Add  
 Organization Code (Bureau/SAP Cost Center Code): 8113040000  
 Bureau Name: Office of Continuity and Records Information Management  
 Record Series Number: 00000124  
 Record Title: Asset Control Program Files  
 Record Description: Records include reports, meeting summaries, surveys, and all related correspondence for the Asset Control Program.  
 Addendum: N/A  
 Agency years: 5  
 Agency Months: 0  
 SRC Years: 5  
 SRC Months: 0  
 Format: 1=Paper  
 Disposition Code: 1 – Routine

Type: Amend  
 Organization Code (Bureau/SAP Cost Center Code): 8113040000  
 Bureau Name: Office of Continuity and Records Information Management  
 Record Series Number: 00000444  
 Record Title: Four Hundred Forty-four Series  
 Record Description: null  
 Addendum: null  
 Agency years: 4  
 Agency Months: null  
 SRC Years: 4  
 SRC Months: null  
 Format: 1=Paper  
 Disposition Code: 1 – Routine

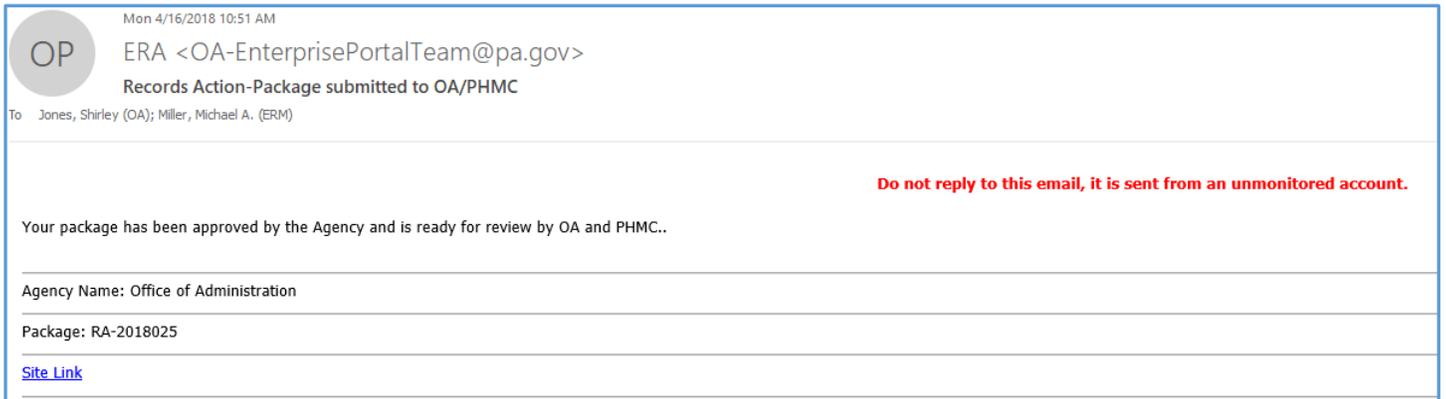
Type: Delete  
 Organization Code (Bureau/SAP Cost Center Code): 8113040000  
 Bureau Name: Office of Continuity and Records Information Management  
 Record Series Number: 00000123  
 Record Title: One Hundred Twenty-three Series  
 Record Description: null  
 Addendum: null  
 Agency years: 3  
 Agency Months: null  
 SRC Years: 0  
 SRC Months: null  
 Format: M=Multi-Format  
 Disposition Code: null

Print

**B. Records in this Package** – This table summary provides the LL and the AH the option to review packages by clicking on each records action sequence number in the package.

**C. Package Summary** – Provides the LL and the AH the option to approve or reject a package by reviewing the package summary.

**Note:** - After the LL and AH have approved the package, OA and PHMC are next in the review process. The system sends out a notification for your awareness.

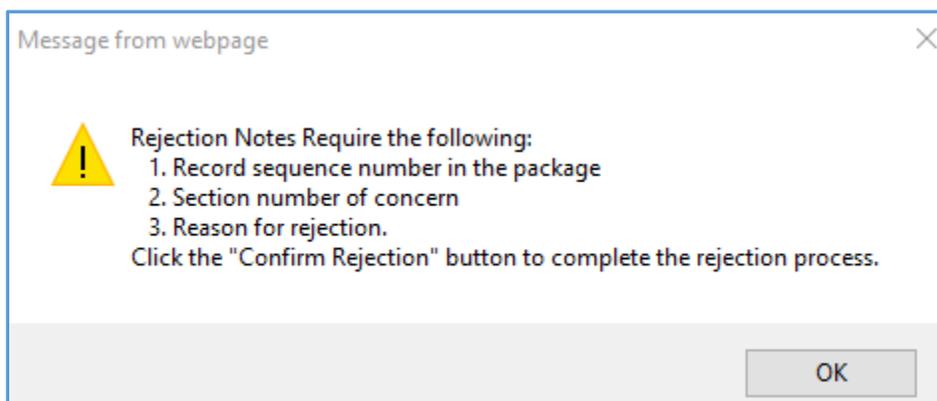


**Note:** You are now finished with the records action package process unless a package is rejected and returned. (See Part IX, Rejections of Records Action Packages, for guidance with rejected records action packages).

## IX. Rejections

Even if one records action sequence is rejected out of several, the package is returned to the RC and is visible in [Track my Agency Submitted Packages](#) and [View Package Submission\(s\)](#) tables on the Home page.

**A. LL and AH Review Levels.** When a records action package is rejected at LL or AH levels, the process is the same. When the Reject button is clicked, the LL and/or AH receive the following message.



The LL and AH are required to enter the information listed in the above message in the Package Rejection Notes box **before** they click the Confirm Rejection button.

RecordRetention - Section8

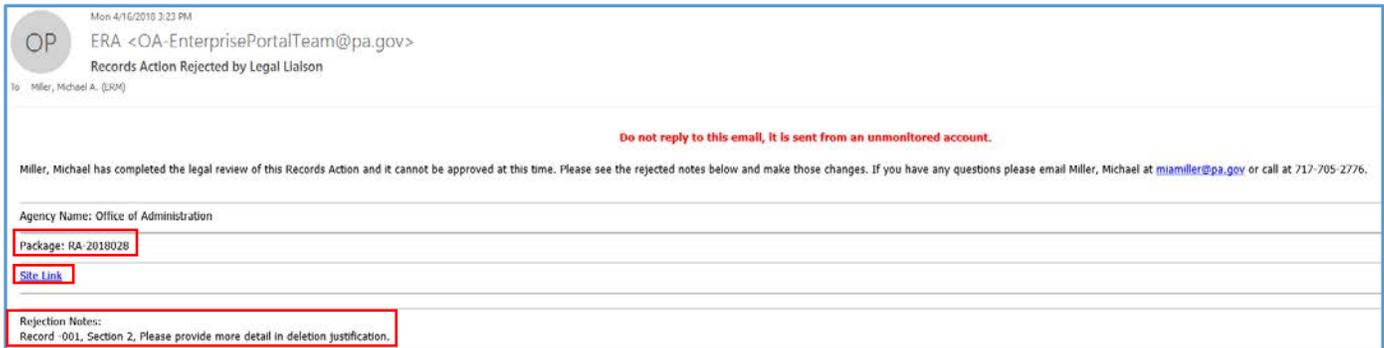
**Package Name: RA-2018028 - Status: LL Review**

**Section 8: Approvals**

Records Coordinator Approval <input type="button" value="Approve"/>	Name: <input type="text" value="miamiller@pa.gov"/>	Status: Approve	Date: <input type="text" value="4/16/2018 1:30:42 PM"/>
Legal Liaison Approval <input type="button" value="Approve"/> <input type="button" value="Reject"/>	Name: <input type="text"/>	Status:	Date: <input type="text"/>
Agency Head Approval <input type="button" value="Approve"/> <input type="button" value="Reject"/>	Name: <input type="text"/>	Status:	Date: <input type="text"/>
Package Rejection Notes: <input type="text" value="Record -001, Section 2, Please provide more detail in deletion justification."/>		<input type="button" value="Confirm Rejection"/>	

Record Number	Record Series Number	Action Type	Status	Delete Record
RA-2018028-001	00000122	Delete	Saved	Not Deletable

The system sends a notification indicating the package is not approved. Information includes the package number that was rejected, the record sequence, section numbers of concern, the reason(s) for the rejection, and a link to the system.



After receiving a rejection notification, follow these steps:

1. Click on the link in the notification.
2. Click on [View Package Submission\(s\)](#) and Click on the rejected package number. The package status is Open.

Select Package:

Package Number	Agency	Package Status	Created Date
<a href="#">RA-2018028</a>	Office of Administration	<a href="#">Open</a>	4/16/2018 1:27:17 PM

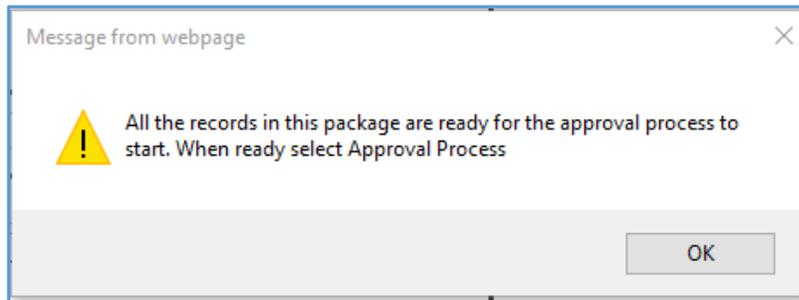
3. The package displays under the Select Package table summary. Click on the Record Number.

**RA-2018028**

RecordNumber	Package	Type	Status
<a href="#">RA-2018028-001</a>	RA-2018028	Delete	Saved

4. Navigate to the Section(s) of concern and make requested revisions

- After addressing the reason(s) of rejection, navigate through all the sections by clicking Next. The following message displays. Click OK.



- Click on the Approval/Rejection Process

**Review**

Record Retention - Review

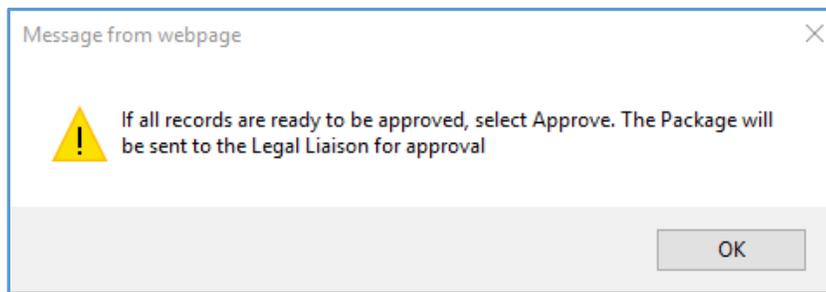
**Package #: RA-2018028 - Package Status: Open**

Save and Add Another to This Package		Add new as:	<input type="radio"/> Add <input type="radio"/> Amend <input type="radio"/> Delete	*
Start New Package		Add new as:	<input type="radio"/> Add <input type="radio"/> Amend <input type="radio"/> Delete	*
<b>Approval/Rejection Process</b>				

Records for this package

Record Number	Record Series Number	Package	Action Type	Status	Ready To Submit	Delete Action
<a href="#">RA-2018028-001</a>	00000122	RA-2018028	Delete	Saved	Yes	<a href="#">Delete Action</a>

- The message displays. Click Ok.



- Section 8: Approvals displays. Click the Approve button. The approval process continues the same as when an initial submission of a records action package is initiated for Internal review and approval.

RecordRetention - Section8

**Package Name: RA-2018028 - Status: Open**

**Section 8: Approvals**

Records Coordinator	Name: <input type="text"/>	Status:	Date: <input type="text"/>
Approval <b>Approve</b>			
Legal Liaison Approval	Name: <input type="text" value="miamiller@pa.gov"/>	Status: Deny	Date: <input type="text" value="4/16/2018 3:22:51 PM"/>
Agency Head Approval	Name: <input type="text"/>	Status:	Date: <input type="text"/>
Package Rejection Notes:	Record -001, Section 2, Please provide more detail in deletion justification.		

Record Number	Record Series Number	Records in this Package	Action Type	Status	Delete Record
<a href="#">RA-2018028-001</a>	00000122		Delete	Saved	<a href="#">Delete Record</a>

**B. OA, OERM Reviewer.** If OERM rejects a records action package, the RC receives a notification.

Tue 4/17/2018 9:28 AM  
 OP ERA <OA-EnterprisePortalTeam@pa.gov>  
 Records Action Rejected by Office of Administration  
 To Miller, Michael A. (ERM)

**Do not reply to this email, it is sent from an unmonitored account.**

Miller, Michael has completed the review of this Records Action and it cannot be approved at this time. Please see the notes and make those changes and resubmit the package. If you have any questions please email Miller, Michael at [miamiller@pa.gov](mailto:miamiller@pa.gov) or call at 717-705-2776.

Agency Name: Office of Administration  
 Package: RA-2018025  
[Site Link](#)  
 Record Number: RA-2018025-003  
 Rejection Notes:  
 Record sequence -003, Section 2: Delete Justification, Provide which General Schedule Item that you are cross walking to and resubmit package.

Following these steps:

1. Click on the link.
2. Click on [View Package Submission\(s\)](#) and click on the rejected package number displayed as Open in the Package Status column.

Select Package:

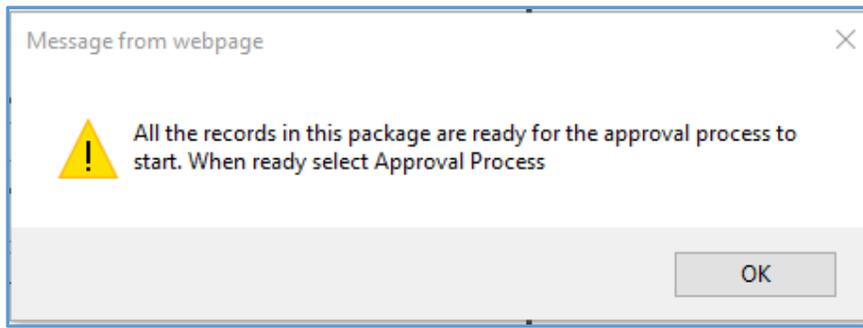
Package Number	Agency	Package Status	Created Date
<a href="#">RA-2018028</a>	Office of Administration	Open	4/16/2018 1:27:17 PM
<a href="#">RA-2018027</a>	Office of Administration	Open	4/12/2018 1:10:49 PM
<a href="#">RA-2018026</a>	Office of Administration	Open	4/11/2018 8:55:25 AM
<a href="#">RA-2018025</a>	Office of Administration	Open	4/6/2018 1:47:43 PM

3. Click on the Record Number indicated under Rejection Notes in the notification.

**RA-2018025**

RecordNumber	Package	Type	Status
<a href="#">RA-2018025-001</a>	RA-2018025	Add	Submitted
<a href="#">RA-2018025-002</a>	RA-2018025	Amend	Submitted
<a href="#">RA-2018025-003</a>	RA-2018025	Delete	Saved

4. Navigate to the Section(s) of concern and make the requested revisions.
5. After addressing the reason(s) of rejection, navigate through all the sections by clicking Next. The following message displays. Click OK.



6. The Review screen displays. Click the Approval/Rejection button.

**Review**

Record Retention - Review

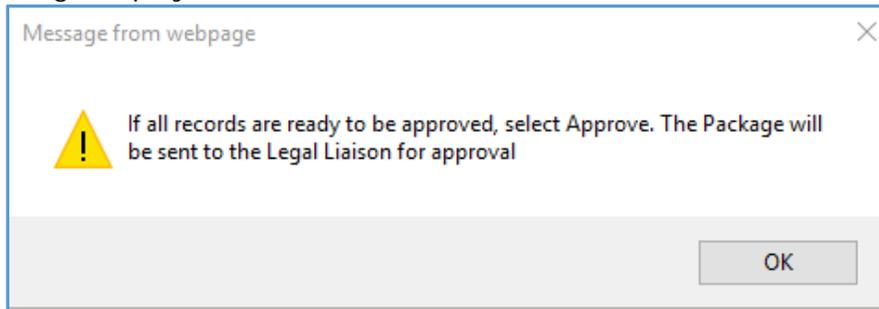
**Package #: RA-2018025 - Package Status: Open**

Save and Add Another to This Package	Add new as:	<input type="radio"/> Add <input type="radio"/> Amend <input type="radio"/> Delete	*
Start New Package	Add new as:	<input type="radio"/> Add <input type="radio"/> Amend <input type="radio"/> Delete	*
<b>Approval/Rejection Process</b>			

Records for this package

Record Number	Record Series Number	Package	Action Type	Status	Ready To Submit	Delete Action
<a href="#">RA-2018025-001</a>	00000124	RA-2018025	Add	Submitted	Yes	Not Deletable
<a href="#">RA-2018025-002</a>	00000444	RA-2018025	Amend	Submitted	Yes	Not Deletable
<a href="#">RA-2018025-003</a>	00000123	RA-2018025	Delete	Saved	Yes	<a href="#">Delete Action</a>

7. The message displays. Click Ok.



8. Section 8: Approvals displays. Click the Approve button. The approval process continues the same as when an initial submission of a records action package is initiated for Internal review and approval.

**Section8**

RecordRetention - Section8

**Package Name: RA-2018025 - Status: Open**

**Section 8: Approvals**

Records Coordinator		Name: <input type="text" value="miamiller@pa.gov"/>	Status: Approve	Date: <input type="text" value="4/13/2018 3:28:42 PM"/>
Approval	<input type="button" value="Approve"/>			
Legal Liaison Approval		Name: <input type="text" value="miamiller@pa.gov"/>	Status: Approve	Date: <input type="text" value="4/16/2018 10:51:12 AM"/>
<input type="button" value="Approve"/>	<input type="button" value="Reject"/>			
Agency Head Approval		Name: <input type="text" value="miamiller@pa.gov"/>	Status: Approve	Date: <input type="text" value="4/16/2018 10:51:28 AM"/>
<input type="button" value="Approve"/>	<input type="button" value="Reject"/>			

Records in this Package

Record Number	Record Series Number	Action Type	Status	Delete Record
<a href="#">RA-2018025-001</a>	00000124	Add	Submitted	<a href="#">Delete Record</a>
<a href="#">RA-2018025-002</a>	00000444	Amend	Submitted	<a href="#">Delete Record</a>
<a href="#">RA-2018025-003</a>	00000123	Delete	Saved	<a href="#">Delete Record</a>

**C. PHMC Review Levels.** If the PHMC rejects a records action package, the RC receives a notification.

Fri 4/20/2018 1:31 PM  
 ERA <OA-EnterprisePortalTeam@pa.gov>  
 Records Action-PHMC Rejection  
 To: Miller, Michael A. (ERM)

**Do not reply to this email, it is sent from an unmonitored account.**

One of the PHMC reviewers has rejected this Records Action. Please see the notes below and follow-up with archivist if necessary.

---

Agency Name: Office of Administration

---

Package: RA-2018025

---

[Site Link](#)

---

Record Number: RA-2018025-003

---

Rejection Notes:  
 Record sequence # -003, Section 2: Delete Justification, please provide which retention schedule item number for the cross walk.

Steps 1 through 8 are the same as when OERM Rejects. The only difference is the Package Status is PHMC Rejected.

Select Package:

Package Number	Agency	Package Status	Created Date
RA-2018028	Office of Administration	Open	4/16/2018 1:27:17 PM
RA-2018027	Office of Administration	Open	4/12/2018 1:10:49 PM
RA-2018026	Office of Administration	Open	4/11/2018 8:55:25 AM
RA-2018025	Office of Administration	PHMC Rejected	4/6/2018 1:47:43 PM

**D. State Archivist Review** - If the State Archivist rejects a records action package, the RC will **not** receive a notification. Pending records packages are monitored regularly by checking in [Track my Agency Submitted Packages](#) and [View Package Submission\(s\)](#) on the Home page.

**Track my Agency Submitted Packages**

Package Name	Package Status	Created Date
RA-2018029	Open	4/18/2018 9:59:07 AM
RA-2018028	AH Review	4/16/2018 1:27:17 PM
RA-2018027	Archivist Rejected	4/12/2018 1:10:49 PM
RA-2018026	Open	4/11/2018 8:55:25 AM
RA-2018025	Open	4/6/2018 1:47:43 PM

Locate the rejected package, Click on the package number. Look in Record Notes in Section 1 of the first records sequence in the package to find the State Archivist's rejection notes. Address the concerns and resubmit the package the same as when an initial submission of a records action package is initiated for Internal review and approval.

### View Package Submission(s)

Select Package:

Package Number	Agency	Package Status	Created Date
<a href="#">RA-2018029</a>	Office of Administration	Open	4/18/2018 9:59:07 AM
<a href="#">RA-2018026</a>	Office of Administration	Open	4/11/2018 8:55:25 AM
<a href="#">RA-2018025</a>	Office of Administration	Open	4/6/2018 1:47:43 PM
<a href="#">RA-2018027</a>	Office of Administration	Archivist Rejected	4/12/2018 1:10:49 PM