



## Procedures for Transfer of Inactive Agency Records from the State Records Center to an Alternative Records Storage Facility Pursuant to Management Directive (MD) 210.5<sup>1</sup>,

Pursuant to MD 210.5, *State Records Management Program*, inactive records must be stored in facilities that provide ready retrieval and a suitable environment to protect records from damage, deterioration and loss. The State Records Center (SRC) offers agencies an efficient, low-cost, secure facility for such storage. Under most commonwealth records schedules, inactive records of agencies under the governor's jurisdiction are mandated to be stored at the SRC. Any agency seeking to transfer records from the SRC to an alternative records storage facility<sup>2</sup> must obtain approval to do so and follow the steps listed below:

1. The Agency Records Coordinator should complete Attachment "A," have it signed by the Agency Head, Deputy or designee, and email the completed form to RA-StateRecordsMgmt@pa.gov, the Pennsylvania State Archives.
2. After review of the submitted request by Pennsylvania Museum and Historical Commission, Bureau of the Pennsylvania State Archives (PHMC), the Office of Continuity and Records Information Management (OCRIM), and the Office of Budget (OB), the State Archives will contact the requesting agency to have that agency schedule an on-site meeting at the proposed storage facility. This meeting will include a tour of the facility and will include the Agency Records Coordinator, Agency Head, Deputy or designee, and staff from OCRIM and the State Archives, to evaluate whether the proposed storage location meets the minimum standards for Agency Records Storage Facilities. The review will include the factors noted in Attachment "B" hereto. (Note: No records with an archival disposal code of 2 or 4 may be removed from the State Records Center (SRC) or scheduled for alternative storage, due to their final disposition being intended for the State Archives).
3. A recommendation will be sent from the tour team to the requesting agency Records Coordinator and the Office of the Budget.
4. If approved for transfer, the Agency Records Coordinator shall prepare records action packet in the Enterprise Records Action System (ERAS) to change the SRC retention to agency retention.
5. Upon approval by the Executive Board, the SRC will schedule the transfer in accordance with its normal scheduled disposition process and timetable. **Reminder: All costs of the transfer shall be the responsibility of the transferring agency.**

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<sup>1</sup> MD 210.5 (5)(e)(3). **Agency Obligations for non-SRC Storage of Inactive Records.** Executive Board approval of an agency records action seeking non-SRC storage shall be contingent upon a demonstration that the storage facility comports with requirements published on the PHMC Web site and that either the fees for such storage are lower than fees for storage at the SRC or there is another compelling reason for using an alternate storage location. Requirements for non-SRC records storage facilities will include specific considerations regarding building construction, environment, security/protection and access."

<sup>2</sup> **Minimum Standards for Agency Records Storage Facilities** follow and describe acceptable facilities.

## Minimum Standards for Agency Records Storage Facilities

Management Directive 210.5 (5)(d)(6) policy states, "All commonwealth records must be maintained in such a way that they are readily retrievable, in facilities that provide a suitable environment to protect from damage, deterioration and loss, and are in compliance with the applicable records schedules." When agencies are ready to send records to storage, whether in an agency building or off-site, they should be aware of the basic requirements for the records they plan to store.

- The records should be inactive and referenced less than once per month.
- They should be accessible and easily retrieved for agency use and to fulfill RTKL requests.
- Records must be stored in uniform sturdy boxes available through the Department of General Services and labeled in order to retrieve records quickly.<sup>3</sup>
- A box inventory list should be created for each box to enable file retrieval.
- Special care should be taken when storing records on special media such as DVDs, CDs, microfilm and floppy disks to ensure they will not deteriorate and not be stored in improper conditions.
- Archival records already at the SRC must not be removed to alternative agency storage and must stay at the SRC until their retention is up or be transferred immediately to the State Archives.
- Records denoted on the retention schedule with a disposal code 2 or 4 must be sent to the SRC rather than an alternative storage facility or, if no longer needed to conduct agency business, they may be reviewed and/or transferred to the State Archives.

### Facilities

#### A. Construction:

1. The building shall be of sound construction and well-maintained, with a roof which is free of leaks.
2. The structure should provide solid protection from the weather.
3. The floor must be capable of bearing the full weight of the records.

#### B. Environment:

1. The facility should be kept clean to avoid accumulations of dust and dirt.
2. If the facility is not climate-controlled, the records storage area must be well-ventilated and not be subject to rapid and extreme fluctuations of temperature and humidity (more than  $\pm 40$  degrees or 40% within 24 hours).
3. The facility should be free of vermin and have a pest control program to guard against insects and rodents.
4. The records area should be well-lighted, but records should not be exposed to direct sunlight.
5. Records must be protected from the threat of damage caused by smoking, eating, and drinking.
6. Records must be placed a minimum of three inches from the floor on sturdy, well-supported shelving units or file cabinets.
7. Records are not to be placed in areas subject to flooding or excessive moisture. Records shall not be placed in areas with exposed water or steam pipes subject to leaking or in areas that are adjacent to furnaces or boilers unless separated by a four-hour fire wall.

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<sup>3</sup> Boxes are available from Department of General Services (DGS), through SAP, EBPro, and select special request tab. The boxes available are:

- The standard size Records Center box, which fits compactly on shelves and is easily handled, is 15"(L) x 12"(W) x 10"(D). These boxes can hold either letter size or legal size documents. The material number is 131454, (old commodity code number is 8115-5400-060).
- The standard storage boxes, for CD-ROM, microfiche and roll film, measuring 15" (L) x 12" (W) x 5" (D), (half the height of a standard records center box) is material number 315099.

For current pricing on either of these two boxes, contact 717-525-5810.

### **C. Security / Protection:**

1. The facility must not be located in a flood plain.
2. The facility must be located within the coverage area of a fire station and near a regularly patrolled police route.
3. The facility must provide appropriate levels of security from theft and premature destruction. Access to the storage area should be limited to authorized persons only. The doors to the storage areas should be equipped with devices which allow only the entry of appropriate personnel.
4. The facility must have an operational fire detection mechanism. In an off-site, unstaffed facility, the fire detection mechanism shall have an external audible alarm.
5. The facility must contain an adequate supply (one or more) of well-distributed portable fire extinguishers suitable for extinguishing fires in all record materials stored.

### **D. Access**

For Agency-designated Warehouses:

1. Only authorized staff should be allowed to access records.
2. One staff member should be in charge of tracking the addition of boxes, retrieval of files or boxes and the disposition of boxes.
3. Boxes should be labeled clearly with the records item number, dates, bureau/division and any other information that would be helpful with agency retrieval.
4. It is highly recommended that file lists be kept for each box to allow for quick retrieval.
5. Records having met their retention should follow their final disposition immediately.
6. Records that are not on a records retention and disposition schedule must not be stored in the warehouse until those records are identified on an approved records retention and disposition schedule.

For Commercial Vendors:

1. Agency staff should complete a box inventory and maintain the detailed list for each box sent to the vendor.
2. One staff member should be responsible for tracking retention and disposition of the boxes and ensure that instructions for both are carried out.

ATTACHMENT "A"

## Request for Storing Inactive Agency Records in a Non-SRC Facility

\_\_\_\_\_  
Name of Agency

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title of Agency Head, Deputy or Designee

\_\_\_\_\_  
Signature

The above Agency has determined that it wishes to no longer use the State Records Center services for the records series listed below and instead wishes to store its records at following location or with the commercial records storage provider: \_\_\_\_\_.

### List records series proposed to be stored at the alternative records storage facility:

The agency agrees to provide adequate storage and access to the agency records and abide by *Management Directive 210.5, State Records Management Program* and the Minimum Standards for Agency Records Storage Facilities, as set forth in "Procedures for Transfer of Agency Records from the State Records Center to an Alternative Records Storage Facility.,

The cost to the Agency for using alternative records storage facilities is estimated at \$ \_\_\_\_\_ more/ less \$ \_\_\_\_\_ than comparable storage at the State Records Center.

### The following cost justification must be provided in your request to the State Archives as listed below:

#### Cost:

1. Square footage of space proposed to be used for records storage;
2. Cost per square foot for this space (indicate how this rate is calculated and what is included – (leased space, utilities, maintenance, custodial services, etc.);
3. A copy of the contract and fee schedule;
4. Estimated number of retrievals of files or boxes per month (figures for recent months may be obtained from the SRC if records have been stored at the SRC);
5. Estimated cost of staffing per year for accessioning boxes, retrieving of boxes and files, disposing of boxes, etc.;
6. If services are contracted out for storage, retrievals and disposals, provide:
  - the annual cost of contract (based on number of boxes as of end of previous fiscal year, and
  - the number of accessions, disposals, and retrievals, if contractor charges on an itemized basis for these services).

ATTACHMENT "B"

**Checklist to be used by the Facility Review Team**

Answer the questions and complete the checklist below to certify that the proposed storage space meets the minimum requirements and that the records will be administered in accord with MD 210.5:

- Y     N     Records are inactive. (Referenced less than once per month).
- Y     N     Records are on either the General Records Retention and Disposition Schedule or an agency-specific records retention and disposition schedule.
- Y     N     Records are packed in uniform sturdy boxes.
- Y     N     Boxes are labeled with series item number, box number and destruction date in order to retrieve and dispose of records quickly.
- Y     N     Records are coded as "archival" (2 or 4) on the retention and disposition schedule. (NOTE: IF Yes, contact the State Archives immediately. Agency may NOT store Archival records in non-SRC facilities.)

**Facilities**

**A. Construction:**

The building is:

Brick    Wood    Metal    Other

- Y     N     The roof is free of leaks.
- Y     N     The structure is solid protection from weather and has no broken windows.
- Y     N     The floor is capable of bearing the full weight of the records.
- Y     N     A weight bearing study has been done for the floor.

**B. Environment:**

- Y     N     The facility does not have accumulations of dust and dirt.
- Y     N     The facility is well ventilated and does not have wide fluctuations of temperature and humidity.
- Y     N     The facility is free of vermin.
- Y     N     A pest control program to guard against insects and rodents is implemented.
- Y     N     There is adequate lighting to shelve and retrieve boxes.
- Y     N     Boxes are not exposed to direct sunlight.
- Y     N     Smoking, drinking and eating are not permitted near the records.
- Y     N     Records are a minimum of three inches from the floor.

Records are stored: (If selecting more than one type of storage, indicate the percentage of each)

\_\_\_\_ On shelves

\_\_\_\_ In Filing Cabinets

Y     N     Records are not near exposed water or steam pipes or in areas adjacent to furnaces or boilers unless separated by a four-hour fire wall.

**C. Security / Protection:**

Y     N     The facility is in a flood plain.

Y     N     Facility is located within the coverage area of a fire station and near a regularly patrolled police route.

Y     N     Facility has security alarms.

Y     N     Only authorized personnel are provided access to the records.

Y     N     A list of authorized personnel is maintained and up to date.

Y     N     Keys to the area are limited to appropriate personnel and are accounted for when people leave.

Y     N     Fire detection mechanisms are in place.

Y     N     If fire detection is in place, there is also an external, audible alarm.

Y     N     A sprinkler system is in place.

Y     N     Fire Extinguishers are available in the facility near the records storage.

**D. Access:**

For Agency-designated Warehouses:

Y     N     One staff member coordinates all tracking of boxes, including additions, retrieval of files or boxes, the disposition of boxes and retain a detailed list of the contents of each box .

Y     N     Boxes are labeled clearly with the record series item number, destruction date, bureau/division and any other information that would be helpful with agency retrieval and disposal.

Y     N     Box inventory lists are kept for each box to allow for quick file retrieval.

Y     N     Records having met their retention will be disposed of within 1 calendar year.

For Commercial Vendors:

Y     N     Agency staff must have a detailed list of in the contents of each box sent to the vendor.

Y     N     One staff member is responsible for tracking retention and disposition of the boxes and ensure that instructions for both are carried out.