Records Action Request: Addition or Amendment to Records Retention and Disposition Schedule

Submit to PHMC at RA-StateRecordsMgmt@pa.gov (if not inputting directly into the Enterprise Records Action System). Mandatory fields are indicated by a **red** asterisk*.

Section 1:	Contact Information
Department Code*	Organization Code (Bureau/SAP Cost Center Code, must be 10 digits) *
Agency*	
Bureau (no acronyms)*	Division (no acronyms)
Contact Person/Telephone*	Date

Section 2: Descriptive Information

Authorization is requested for the following action:* ☐ Add ☐ Amend	Record Series Number (must be 8 digits. If a letter suffix is needed, you must enter 8 digits plus the letter suffix)*

Record Series Title*

Record Series Description*

☐ This is a new or amended description. NOTE: This field is mandatory for new record series items and for record series items with no existing description in ERMS.

☐ This field is blank because accurate description already exists in ERMS

Format (Check one)* ☐ 1 – Paper (includes photographs (includes photo negatives) ☐ A – Microfilm ☐ B – Electronic ☐ C – Portable Media (CDs, DVDs, tapes, etc.) ☐ D – Cartographic ☐ M – Multi-format (All items must have same retention in the same location)	Agency Retention* _____ Years _____ Months
	SRC Retention _____ Years _____ Months

Addendum (List any addendum to the retention, i.e. an event denoting when the retention begins.)

Indicate any restrictions on access and use, including legal citations.

Section 3: Disposition and Location

Disposition Code (Check one)*

☐ 1 – Routine

☐ 2 – Archival Review

☐ 3 – Special (Agency Retain only)

☐ 5 – Agency Return (SRC Retain only)

☐ 6 – Delete

☐ 7 – Archives/Agency Review (100 year retention only)

Location of Records	Type of Location Space (Check all that apply) ☐ Agency Office ☐ Agency Storage ☐ SRC ☐ Non-Agency Storage ☐ Electronic-(See Section 6)
Inclusive Dates of Record Start _____ End _____	Arrangement ☐ Alphabetical ☐ Numerical ☐ Chronological

Series Cut-Off ☐ Calendar Year   ☐ Fiscal Year   ☐ Other

Vital Records? ☐ Yes ☐ No	Frequency of Reference ☐ Daily ☐ Weekly ☐ Monthly ☐ Less Frequent
Annual Accumulation (see instructions for measurements) ☐ <10 CF or 10 GB Data ☐ >10<50 CF or >10<50 GB Data ☐ >50<100 CF or >50<100 GB Data ☐ >100<300 CF or >100<300 GB Data ☐ >300<500 CF or >300<500 GB Data ☐ >500 CF or >300<500 GB Data	Current Volume (see instructions for measurements) Agency SRC ☐ <10 CF or 10 GB Data ☐ >10<50 CF or >10<50 GB Data ☐ >50<100 CF or >50<100 GB Data ☐ >100<300 CF or >100<300 GB Data ☐ >300<500 CF or >300<500 GB Data ☐ >500 CF or >300<500 GB Data
Audited? ☐ Yes ☐ No	If Audited, By Whom?

Complete only if format is microfilm (See Format)
Are original paper or electronic records
     destroyed or kept when film is produced?
 	
       ☐ Destroyed   ☐ Kept
     If kept, list the records series item
     number(s):
	Complete only if format is microfilm (See Format) Are
	     a master & duplicate copy of microfilm
	     produced?
	       ☐ Yes ☐ No
	If yes, are the master and copy kept in different locations?
	       ☐ Yes ☐ No

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:

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

Disposition Justification (required for disposal code 7 only)

     Justify the disposition. If amending the disposition code, indicate current code.

Duplicates/Copies

     If a duplicate or other copies of this record series exists, is this series:

       ☐ the official record copy   ☐ a security copy   ☐ a duplicate copy

If other copies exist, list related series by their record series numbers:
Indicate any restrictions on access and use including legal citation:

Section 5: Exception from General Records Retention and Disposition Schedule (Complete only if requesting an exception from using a General Records Retention and Disposition Schedule)
General Records Retention and Disposition Schedule record series number from which exception is sought:
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:

Section 6: Electronic Records (Complete only if format is Electronic or Portable Media. See Format)	
IT CONTACT. Name Telephone	Application/System Title - Include System ID if applicable
Processing/Architectural Platform ☐ Mainframe ☐ Client Server ☐ Desktop ☐ Other (indicate)	
Data Source/ Data Platform ☐ Same as Processing Platform ☐ Oracle ☐ SQL Server Other (Indicate) _____ ☐ Desktop Suite (Word, Excel, PPT Microsoft Access)	
Input. How is the data collected and entered into the system? ☐ By Paper ☐ Physical Media ☐ File Transfer Protocol ☐ By Electronic Input ☐ Electronic Filing	Is Input Retained? ☐ Yes ☐ No
If input is retained, list the records series item number(s).	
Output. Are outputs generated? ☐ Electronic Output ☐ Microfilm ☐ Computer Output Microfilm (COM) ☐ Paper ☐ Other	
Is Output Retained?	If output is retained, list the record series item number(s).

☐ Yes ☐ No	
Will data be migrated when system is updated or changed? ☐ Yes ☐ No	
Active Storage ☐ Shared Drive ☐ Local Server ☐ SAN ☐ NAS ☐ WORM ☐ CD/DVD ☐ Microfilm ☐ Tape ☐ Paper ☐ Optical ☐ Other	

Active Storage Location
    ☐ Agency Operating Area (i.e. office, computer room, server farm) ☐ OA Server Farm ☐Data Power House
    ☐ Other Storage Area (i.e. off-site or tape file room)	

Inactive Storage ☐ Shared Drive ☐ Local Server ☐ SAN ☐ NAS ☐ WORM ☐ CD/DVD ☐ Microfilm ☐ Tape ☐ Paper ☐ Optical ☐ Other	

Inactive Storage Location
    ☐ Agency Operating Area (i.e. office, computer room, server farm) ☐ OA Server Farm ☐Data Power House
    ☐ Other Storage Area (i.e. off-site or tape file room)	