

Local Government Commission Records Retention and Disposition Schedule¹

Revised and Adopted September 26, 2018

Records retention and disposition schedules are the means by which agencies control and manage their records. Approved schedules specify how long to keep various agency records, identify those records having permanent value, and authorize the disposal of nonpermanent records at the end of specified time periods. Utilizing approved schedules ensures that the Commonwealth's records are managed efficiently and effectively and are properly preserved for business or historical purposes.

All Local Government Commission (LGC) staff share responsibility for managing the agency's records; and, all records, regardless of physical format, must be identified and assigned retention periods. This is done pursuant to the Records Retention and Disposition Schedule. If retained, records are maintained either at the LGC offices or at the House of Representatives Archives (HRA), as specified. To be effective, records retention and disposition must be managed properly, conscientiously, and continuously.

Records that do not appear on the adopted Records Retention and Disposition Schedule may not be purged or destroyed without approval of the LGC Executive Director, Legal Counsel, and primary responsible staff member (e.g., Fiscal Records – Bookkeeper or Comptroller). If and when unscheduled records are identified, LGC staff should contact the Executive Director.

Records versus Non-Records

Very broad and basic definitions of records and non-records are as follows:²

Record – Any recorded information, regardless of physical form or characteristics, that document a transaction or activity of the agency and that is created, received, or retained pursuant to law or in connection with the transaction of official business. The records covered by this schedule pertain to both paper and electronic records, including e-mail. In other words, records in all forms and formats are covered.

Non-Records – Materials that do not meet the definition of a record. Following are examples of materials defined as non-records that may be disposed of at the convenience of the agency: blank forms, books, etc., that are outdated; research notations that are the basis of an inquiry; preliminary drafts of letters, reports, and memoranda that do not represent significant basic steps in preparation of record documents; shorthand notes, stenographic tapes, and mechanical recordings that have been transcribed, except where noted on the agency retention schedule; routing and

¹ Introductory information on pages 1 and 2 of this schedule are excerpted and/or adapted from the “General Administrative Records Retention and Disposition Schedule for Records Common to Most Agencies,” *Governor's Office Manual*, M210.9 amended, Commonwealth of Pennsylvania, September 8, 2018, < https://www.oa.pa.gov/Policies/Documents/m210_9.pdf > (accessed September 26, 2018).

² See *supra* note 1, “General Administrative Records Retention and Disposition Schedule for Records Common to Most Agencies,” pages 4-5, for key definitions.

other interdepartmental forms that do not add any significant material to the activity concerned; stocks of publications that have already been archived and processed documents preserved for supply purposes only; and form and guide letters, sample letters, form paragraphs, vendor product information packets, and brochures.

Records Retention and Disposal Procedure³

Disposal codes are used to direct the final disposition of records. Records must be disposed of according to the assigned code listed on the adopted retention schedule. Assigned codes are as follows:

Code 1 – Routine Handling Disposal. No special precautions need take place upon disposal. The records should be disposed of in accordance with the county’s recycling program.

Code 2 – Archival Review/Retention or Special Handling Disposal. Upon completion of the retention period by the LGC, the LGC will review the records and decide to either retain the records for a specified period at the LGC or carry out disposal in accordance with Code 3.

Code 3 – Special Handling Disposal. This code is used for the destruction of records containing confidential or sensitive information that requires special handling by shredding or any other method that reduces the information to an illegible condition.

Code 4 – Archival Retention. This code indicates that the records have been reviewed and determined by the LGC to have sufficient archival or historical value to warrant their preservation for an extended period of time. Such records ultimately will be retained at the HRA or, if deemed confidential, sensitive or pertinent, at the LGC.

Transfer of any records to the HRA for retention shall be authorized and documented with a completed LGC Records Retention Request (Addendum A), which shall accompany the transferred records, and on an LGC/HRA Records Retention Log (Addendum B), which shall be maintained permanently by the LGC.

Upon culmination of a specified retention period, the disposal of a record that requires:

- Routine handling disposal shall be authorized by the Executive Director.
- Special handling disposal shall be authorized the Executive Director, Legal Counsel, and primary responsible staff member.

Disposal of any records retained by the LGC that require special handling shall be documented on an LGC Records Disposition Log (Addendum D), which shall be maintained permanently by the LGC. Disposal of any records that only require routine handling need not be documented on the Disposition Log.

³ Any records retained for a specified period in the House of Representative Archives as of September 26, 2018, shall be retained and disposed of in accordance with the initial Local Government Commission Records Retention and Disposition Schedule, adopted September 24, 2008.

Records Retention and Disposition Schedule

Components of the LGC Schedule are adapted primarily from the applicable Commonwealth of Pennsylvania Records Retention and Disposition Schedule⁴ that was in effect on the date on which this schedule was revised and adopted, along with previous input from the House of Representatives Archivist, the Legislative Data Processing Center, and the LGC's auditing firm, Ernst & Young.

- The Administrative, Public Relations, Legislative, Legal, Training, Information Systems, Records/Forms Management, Security/Safety, and Facilities Management components of this schedule are adapted from "General Records Retention and Disposition Schedule," *Governor's Office Manual*, M210.9 amended, Commonwealth of Pennsylvania, September 8, 2018.
- The Personnel component of this schedule is adapted from "Personnel Records Retention and Disposition Schedule," *Governor's Office Manual*, M505.4 amended, Commonwealth of Pennsylvania, December 7, 1998.
- The Fiscal component of this schedule is adapted from the "General Accounting Records Retention and Disposition Schedule," Commonwealth of Pennsylvania, Department of General Services, Bureau of Publications and Paperwork Management, April 4, 1986, amended July 15, 1987 and March 7, 1991.

Record retention periods are listed in years from date of completion, unless otherwise noted. Records under legal review, appeal or study are exempt from this schedule. Records already archived in the State Archives or in the HRA prior to adoption of this schedule are listed in Addendum E.

⁴ The LGC is not governed by any of the listed Commonwealth Records Retention and Dispositions Schedules, but the LGC has used them as templates or guidelines for its own Records Retention and Disposition Schedule. For a more complete description of a specific record type, refer to the appropriate records retention and disposition schedule on the Pennsylvania Historic and Museum Commission's website, <https://www.phmc.pa.gov/Archives/Records-Management/Pages/Policies-Laws.aspx>.

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Administrative			
Executive Level			
Correspondence and Subject Files, and Daily Log	8 years	—	2
Policies and Procedures	2 years after amended or rescinded	—	2
Studies and Operational Plans	8 years ⁵	—	2
Official Recommendations/Appointments for Service ⁶	8 years upon culmination of service	—	2
Meeting Minutes and Other Relevant Records of the LGC Commission, Its Committees, Task Forces, Etc.	8 years	Permanent	2
Historical Documents	Permanent	Permanent	4
Administrative and Staff Level			
Correspondence and Subject Files	8 years	—	2
Meeting Records	8 years	—	2
Project Administration Files	8 years after completion of project	—	2
Contract Administration Files	4 years after completion of contract	—	3
Accreditation Records	2 years or until superseded	—	2
Complaint Records	2 years after resolution	—	3
Right-to-Know Law Requests	2 years	—	1
General Requests	2 year after response	—	1

⁵ After study is completed, or after operational plan is implemented or when it is superseded or obsolete.

⁶ Refers to service on a committee, task force, or similar entity.

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Vendor Product Equipment Files	1 year or until superseded or obsolete	—	1
Professional Organization/Conference Documents	2 years	—	1
Publications – External	Current plus 1 year ⁷	—	1
Publications – LGC	Until superseded or obsolete	Permanent	1, 4 ⁸
Official Calendars	Current plus 1 year	—	1
Directories and Mailing Lists	Until superseded or obsolete	—	3
Transitory Files ⁹	As long as of administrative value	—	1
Transitory Files – Confidential ¹⁰	As long as of administrative value	—	3
In-House Procedure Manuals	Until superseded or no longer in effect	—	3
Transmittal Copies	Only as long as needed	—	3
Personnel			
Official Personnel File			
Application for Employment/Promotion	Current	—	3
Financial Institution Deduction Authorization			
Authorization for Direct Deposit of Pay			

⁷ Review and retain publications or articles thereof that are germane to subject files.

⁸ Upon issuance of an LGC publication, reserve four (4) copies for House Archives’ permanent retention and, after LGC retention, dispose of any remaining copies by routine handling.

⁹ Records of short-term interest with no lasting business value, for example: routine requests for information or publications and copies of replies, which require no administrative action, no policy decision and no special compilation or research for replies; letters of transmittal; or notices, including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or United Way campaigns, and similar records.

¹⁰ Similar to transitory files, except require special handling disposal for reasons of confidentiality, security or privacy.

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Employee’s Request for Additional State Income Tax Withholding	Current	—	3
Employee’s Withholding Exemption Certification			
Employee Performance Review	3 years ¹¹	—	3
Financial Disclosure Appeal Form Pursuant to Public Official and Employee Ethics Act	4 years ¹²	—	3
Request for Special Extension of Medical Leave			
Disability Information Request			
Record of Absence			
Employment Eligibility Verification	75 years from employee’s date-of-birth or, if employee is 72 years of age or older, retain for 4 years	—	3
Notification to Employees of Rights and Duties Pursuant to Workers’ Compensation Act § 306(f.1)(1)(i)			
Application for Membership – State Employees’ Retirement System			
Service and Salary Record			
Employer’s Report of Occupational Injury or Disease			
Affidavit to Procure Salary, Wages, or Employee Benefits Due Deceased Employees			

¹¹ Three (3) years and, if applicable, last probationary evaluation if not superseded by annual evaluation.

¹² For disability information request, 4 years or until case closed, whichever is longer.

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Other Personnel Records (not part of Official Personnel File)			
Identification Card	Current	—	3 ¹³
Request for Reimbursement for Applicant’s Travel Expenses	4 years	—	3
Accident/Incident Report			
Workers’ Compensation Claim Report			
Complaint Record	2 years after resolved or, for EEO discrimination, 4 years after close of case or as long as of admin. value	—	3
Statement of Financial Interest Pursuant to Public Official and Employee Ethics Act	5 years	—	3
Requirements for Former Employees Pursuant to Public Official and Employee Ethics Act			
Time and Attendance Record	7 years	—	3
1099 Form			
Conferences, Training, and Travel Authorization			
Fiscal¹⁴			
Budget Records			
Request for Fiscal Year Appropriation	7 years	—	3
Allocation for Fiscal Year			
Appropriation Expenditure Adjustment			

¹³ Return to Senate Security office upon culmination of service.

¹⁴ Record retention periods are in fiscal years (July 1st – June 30th).

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Requisition and Encumbrance Records			
Purchase Requisition/Order	7 years	—	3
Invitation for Bids, Bids Received, and Bid Award (Codes, Publications)			
Service Purchase Contract	7 years after contract completion	—	3
Expenditure and Supporting Records			
Voucher Transmittal (STD-125)	7 years	—	3
General Invoice (STD-152) ¹⁵			
Other Invoice			
Expenses – Member and Employee			
Publications Authorization and Invoice			
Miscellaneous Accounting Records			
Signature Authorization	Until superseded or obsolete	—	3
Refund of Expenditures (STD-419)	7 years	—	3
Monthly Financial Report – General and Code Accounts			
General Ledger – General and Code Accounts			
Department Voucher Transmittal Listing (TBLDP271)	7 years	—	3
Department Check Register (TBLCK501)			

¹⁵ Retain separate file for each vendor/invoice.

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Payroll Records			
Payroll and Deduction Transfer Voucher	7 years	—	3
Payroll Withholding ¹⁶			
Employer Benefit Payment ¹⁷			
Custodial Timesheets			
Public Relations			
Invitations and Programs	2 years	—	2
Speeches/Presentations	4 years	—	2
Memorabilia	1 year or as long as of admin. value	—	2
Legislative			
Legislative Correspondence ¹⁸	2 years after end of Session	—	2
Draft Bill, Resolution, Regulation, Statement of Policy, Management Directive, Ordinance, or Amendment Thereto ¹⁹			
Record Relating to Internal, Predecisional Deliberations ²⁰			
Strategy to Develop or Achieve a Budget, Legislative Proposal, or Regulation ²¹			

¹⁶ Federal Income Tax, State Income Tax, Harrisburg Wage Tax, Local Services Tax, Workers Compensation Program, Pennsylvania Unemployment Compensation Fund, SERS, Deferred Compensation, Group Life Insurance, State Employees Combined Appeal, PSECU (Direct Deposit).

¹⁷ Medical, Dental/Vision/Prescription, Long Term Disability, Life Insurance, SERS.

¹⁸ Right-to-Know Law § 708(b)(29).

¹⁹ *Id.* at § 708(b)(9).

²⁰ *Id.* at § 708(b)(10)(i)(A).

²¹ *Id.* at § 708(b)(10)(i)(B).

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Legal²²			
Regulations and Statements of Policy	Until superseded or obsolete	—	2
Investigative Files on Personnel and Other “In-House” Administrative Matters	1 year after close of investigation	—	3
Litigation and Related Matters	12 years after case is closed	—	3 ²³
Recommendations ²⁴	6 years	—	2
Miscellaneous Legal Issue Files	6 years after issue resolved	—	2
Sunshine Act Meeting Notices	7 years	—	1
Training			
Course Information Records	3 years or as long as of administrative value	—	1
Presentation/Training Development Files			
Information Systems²⁵			
Data Source Records	Until data capture is verified and not required for legal/audit purposes	—	2
Convenience Databases and Spreadsheets ²⁶	Until no longer needed	—	1
Computer Master Destruction ²⁷	1 month	—	1

²² LGC Counsel must approve the disposal of any records related to known investigations and/or legal actions.

²³ Disposal Code 4 – Archival Retention, if litigation is precedent setting.

²⁴ For example, review of and recommendations on an intergovernmental cooperation agreement pursuant to Title 53 of the Pennsylvania Consolidated Statutes, Section 2314.

²⁵ All LGC web records listed herein are retained by the Legislative Data Processing Center.

²⁶ Created as tools to index or manipulate information contained in another type of record. If the manipulation of the data has substantial value in and of itself, then it should be addressed separately in this schedule.

²⁷ Records documenting the destruction of electronic files.

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Computer Software Licensing Files	4 years after expired; 1 year after no longer installed	—	1
Web Pages – Information Only	As long as of administrative value	—	1
Web Snapshots/Website Inventory	As long as of administrative value	—	1
Web Server Logs	1 year	—	1
Web Statistics and Trends Reporting	2 years	—	1
Records/Forms Management			
Records Management	As long as of administrative value	—	1
Forms Management	Life of form plus 1 year	—	1
Records Retention and Disposition Requests and Logs	Permanent	—	4
Security/Safety			
Safety and Health Manual	Current plus 1 year	—	3
Evacuation Plan			
Safety Records	3 fiscal years	—	3
Facilities Management			
Work Orders for Maintenance or Other Services	1 year	—	1
Postal Records	2 years	—	1
Telecommunications Records	3 years	—	1
Facility Maintenance and Operational Manuals	3 years after superseded	—	1
Surplus Property Disposition Records	2 years	—	1

Record Description	Local Government Commission Retention	House of Representatives Archives Retention	Disposal* Code
Space Allocation Planning Files	4 years after completion of action	—	3
Lease Files	4 years after expiration of lease	—	3
Fixed Assets Inventory Files	6 years after disposition of asset	—	1

Addendum A
Local Government Commission
Records Retention Request

Approval is requested to *retain* the following records in the House of Representatives Archives in accordance with the Local Government Commission Records Retention and Disposition Schedule, revised and adopted on September 26, 2018:

_____ records are to be maintained
Record Description

for/until _____ .
Retention Period

Record Description:

Record Quantity (e.g., number of file folders, boxes): _____

Local Government Commission Approval Granted by:

Executive Director _____ Date: _____

Retention Handled by:

House of Representatives Records Officer: _____ Date: _____

Addendum B
Local Government Commission/House of Representatives Archives Retention Log
Pursuant to the Local Government Commission Records Retention and Disposition Schedule
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Record			Archived Date	Retention End Date
Description	Date(s)	Quantity		

Addendum D – Local Government Commission Records Disposition Log

Pursuant to the Local Government Commission Records Retention and Disposition Schedule

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Record			Disposal Code*	Disposal Date	Disposal Approval			Disposal Handled by
Description	Date(s)	Quantity			Executive Director	Legal Counsel**	Responsible Staff	

* Disposal Code: 1–Routine Handling; 3–Special Handling; 5–Deletion (for electronic records).

** Legal Counsel approval required for Special Handling only.

Addendum E
Local Government Commission
Records Retained at State Archives

Analysis of Revisions to the Pennsylvania Municipalities Planning Code (Act 247 of 1988, as amended by Act 170 of 1988), Historical Development, Legislative Intent, and Commentary on Amendments Enacted During 1987-1988 Legislative Session, Local Government Commission, 1989, 67 pages. (one copy)

Marie Buchanan and David Powell, ed., *Acts of 1972 Affecting Local Government, Pennsylvania Department of Community Affairs, 1973. (one copy)*

HR 354 of 1992, Local Government Commission, 1993. (one copy)

1993 Edition of Analysis of Revisions to the Pennsylvania Municipalities Planning Code (Act 247 of 1968, as amended by Act 170 of 1988)(as further amended by Act 209 of 1990 and Act 131 of 1992), Historical Development, Legislative Intent, and Commentary on Amendments Enacted During the 1987-88, 1989-90, and 1991-1992 Legislative Sessions, Local Government Commission, 1993, 79 pages. (one copy)

Quick Reference to Pennsylvania's Statutory /Regulatory Measures to Protect Agricultural Land and Open Space, Local Government Commission, 2001, 6 pages. (one copy)

Understanding Local Tax Reform, An Explanation for ct 45 of 1988, The Local Tax Reform Act, Local Government Commission, 1989. (one copy)