

## Instructions for Records Action Request: Addition or Amendment to Records Retention and Disposition Schedule (STD-64)

### Section 1a: Contact Information (to be completed for all records series items)

1 through 8. Self-explanatory.

### Section 1b: Inventory and Descriptive Information (to be filled out for all records series items)

9. Authorization is requested for the following action. Check the appropriate box.
10. **Record Series Number.** Enter the record series (item) number of the records to be amended or added. **Note:** Records Coordinators maintain the last records series number used by the agency.
11. **Record Series Title.** Enter a meaningful Record Series Title. Do not use acronyms. **Note:** The name should reflect the contents of the records series.
12. **Record Series Description.** Enter a brief but informative description of the record series in terms of its form, content, and basic purpose and use. The record series description identifies the nature and purpose of the records. It must explain why the series was created and what functions are related to the series. An accurate description should also include a list of the types of documents within the series, such as forms, correspondence, or reports. Any confidentiality requirements should also be noted in the description, including the length of time and the legal requirements as to why records must be restricted. Check the appropriate box for whether the description is new (for a new item or if a description is not currently recorded in ERMS for an existing item) or whether a description is not needed because a description already exists in ERMS and is correct.
13. **Addendum (List any addendum to the retention).** List the event that triggers the retention (such as "after case closes," "when audit is complete," or "when license has expired") or specific guidance if the retention period for the record series in question does not readily fit into years and months.
14. **Format.** Check the appropriate box for the medium of the records.
15. **Agency Retention.** Enter the proposed retention period in months and years the records will reside within the agency. **Note:** If the retention period for the record series in question is triggered by an event or is not easily tied to an exact year/month, place an asterisk (\*) following the number of years in the column under retention and explain the use of the asterisk in the Addendum (See No. 13, Addendum). **Example:** Agency Retention: 6\* Yrs 0 Mos. Addendum: \*After certification expires.
16. **SRC Retention.** Enter the proposed retention period in months and years the records will reside at the State Records Center (SRC). **Note:** If the retention period for the record series in question is triggered by an event or is not easily tied to an exact year/month, place an asterisk (\*) following the number of years in the column under retention and explain the use of asterisk (\*) in the Addendum (See No. 13, Addendum). **Example:** SRC retention: 3\* Yrs 0 Mos. Addendum: \*After case closes.
17. **Disposition Code.** Check the appropriate box for the disposition code; what becomes of the records once the final retention period is met.
18. **Archival Disposition (PHMC Use Only).** Archivists from the PHMC/State Archives will determine if the records have historical value.

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19. **Location of Records.** Enter the physical storage location of the records. **Example:** Rachel Carson Bldg, 4<sup>th</sup> floor
20. **Type of Space.** Check the appropriate box for the type of space in which the records are located.
21. **Inclusive Dates of Record.** Enter the range of years, from the oldest to the most recent records within the record series, regardless of location. Use "present" for latest date if series is on going. **Examples:** 2000-present or 2003-2008.
22. **Arrangement.** Check the box for the appropriate file arrangement.
23. **Vital Records?** Select "Yes" or "No". **Note:** Refer to your agency Continuity of Operations Plan (COOP) to identify whether the record series is a Vital Record by definition. See Manual 210.8 for definition.
24. **Frequency of Reference.** Check the appropriate box that describes how often the records are used or referenced.
25. **Annual Accumulation.** Enter the amount of records produced in one year. **Note:** See Cubic Foot Measurements Chart below.

### Cubic Foot Measurements

Letter-size drawer or box	= 1.5 cu. ft.	4 x 6 card, six 12" rows	= 1.0 cu. ft.
Legal-size drawer or box	= 2.0 cu. ft.	4 x 6 card, three 24" rows	= 1.0 cu. ft.
Letter-size, 36" shelf	= 2.0 cu. ft.	5 x 8 card, four 12" rows	= 1.0 cu. ft.
Legal-size, 36" shelf	= 2.5 cu. ft.	5 x 7 card, two 24" rows	= 1.0 cu. ft.
3 x 5 card, ten 12" rows	= 1.0 cu. ft.	Tab card, five 14" rows	= 1.0 cu. ft.
3 x 5 card, five 24" rows	= 1.0 cu. ft.	Tab card, three 24" rows	= 1.0 cu. ft.

26. **Current Volume.** Enter the amount of records in cubic feet for the record series within the agency and at the State Records Center (SRC) (will only apply to SRC if amending existing records series). **Note:** See above Cubic Foot Measurements. If the record is electronic, indicate file size in megabytes, gigabytes or terabytes. See IT staff for information on file size.
27. **Audited?** Select "Yes" or "No".
28. **If audited, by whom?** If the records are audited, specify the office or entity who conducts the audit.
29. **Series Cut-off.** Check the appropriate cut-off date for the record series. **Remember:** A records cut-off is the breaking or ending of files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence, to permit the establishment of new files.
30. **Are original paper or electronic records destroyed or kept when film is produced?** (NOTE: Complete only if format is microfilm (see No. 14, Format): Select "Destroyed" or "Kept". If selecting "Kept", list the records series item number(s) of the associated records.
31. **Are a master and duplicate copy of microfilm produced?** (NOTE: Complete only if format is microfilm (see No. 14, Format): Select "Yes" or "No". If selecting "Yes", then answer the following question of: If yes, are the master and copy kept in different locations? Select "Yes" or "No".

### Section 1c: Justification and Analysis (to be filled out for all record series items)

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32. **Retention Justification.** Enter a brief but informative summary of the appropriate business need to support the proposed retention period. Include any regulations that support the justification.
33. **Legal Citation.** Provide the citation of any laws or regulations that support the justification.
34. **Disposition Justification** (required for disposal code 7 only). Provide the reason for the proposed disposition. If amending disposition code, indicate current disposition code.
35. **Duplicates/copies. If a duplicate or other copies of this records series exists,** check the appropriate box to indicate if the record is the official copy, a security (or vital record) copy, or a duplicate copy. **Note:** Often duplicate records, either in part or whole series, are used for different purposes in other offices, such as central offices and field offices. Duplicate records could be scanned copies of paper records.
36. **Indicate Any Restrictions On Access And Use Including Legal Citations.** Enter any restrictions relating to these records, such as Right to Know Law exemptions or a legal citation. **Note:** Restrictions may be due to legal or fiscal reasons, or may only be accessed by certain staff. If further clarification is needed, please contact the agency Records Coordinator or Legal Liaison.

### Section 1d: Agency Approvals (to be filled out for all record series items)

- 37- 39. Self Explanatory. **Note:** 37 & 38 must be completed; for agencies that do not have Legal Liaisons, 39 may remain blank.

### Section 2: Exception from General Records Retention and Disposition Schedule **(Complete only if an agency is requesting an exception from using a General Records Retention and Disposition Schedule and keeping a record series on the agency-specific records retention and disposition schedule).**

40. **Records Series number from General Records Retention and Disposition Schedule which exception is sought. Example:** If the agency wants to keep minutes differently, the records series number would be G001.005.
41. **Reasons for exception request.** Check all boxes which apply to the request for exception to this series.
42. **Provide the specific business needs and/or operational requirements for the above checked items.** State why the specified records cannot follow the retention or the disposition of the General Records Retention and Disposition Schedule.

### Section 3: Electronic Records **(Complete only if format is Electronic or Portable Media. (See No. 14, Format) NOTE: This section is to be completed by the responsible IT Contact.**

43. **IT Contact-Name and Telephone Number.** Name and telephone number of the person to contact within the technical area for this particular application.
44. **Application/System Title.** Name of application as known by staff. May include system ID number.
45. **Processing/Architectural Platform.** Check the box for the applicable processing platform.
46. **Data Source/Data Platform.** Check the applicable source/platform.

## **Instructions for STD-64 Records Action Request: Approval of Records Retention and Disposition Schedule**

47. **Input.** How is data collected and entered into the system? Check all that apply.
48. **Is Input Retained?** Select "Yes" or "No".
49. **If input is retained, list record series item number(s).** If the paper or other input media is kept after the records have been entered into the system, indicate the associated record series item number(s).
50. **Output. Are outputs generated?** Check the appropriate boxes for all that apply. Multiple outputs may apply for a single application.
51. **Is Output Retained?** Select "Yes" or "No".
52. **If output is retained, list record series item number(s).** If the paper or other output media is kept, indicate the associated record series item number(s).
53. **Is Inactive Data Purged?** Select "Yes" or "No".
54. **Will Data Be Migrated When System Is Updated Or Changed?** Select "Yes" or "No".
55. **Active Storage.** Check the appropriate box for the type of media records are stored on.
56. **Active Storage Location.** Check the appropriate box for the location for the active records.
57. **Inactive Storage.** Check the appropriate box for the type of media records are stored on when they are no longer active.
58. **Inactive Storage.** Check the appropriate box for the location for the inactive records.

### **Section 4: Authorization (PHMC and ERM Only)**