

**The Philadelphia Parking Authority**  
**701 Market Street, Suite 5400**  
**Philadelphia, PA 19106**

**RFP No. 18-16**  
**Government Relations Services**  
**Addendum One**

To: See Email Distribution List

From: Mary Wheeler  
Manager of Contract Administration

Date: June 25, 2018

No Pages: 26

This addendum is issued on June 25, 2018 prior to the proposal due date to add, delete, modify, clarify and/or to respond to questions submitted by prospective offerors regarding the work included in the above referenced solicitation.

**CLARIFICATIONS, CHANGES AND ADDITIONS TO THE RFP DOCUMENTS**

1. An electronic version of the Proposal Form has been posted to the Authority's website.

**QUESTIONS**

1. **Question:** A question on tab J. When you ask for a list of clients, are you asking for all of the clients who we have serviced or a list? Do you want all the clients who we have worked with in the last three years?

**Response:** Each Offerer must provide a list of clients serviced in the past 3 years.

2. **Question:** If you're submitting on Philadelphia or Harrisburg, do you supply the clients that you worked on in Philadelphia, or can you draw a line between the clients you worked on in Philly and Harrisburg, depending upon what you happen to submit for?

**Response:** The client list submitted must include all clients that you have worked with over the last three years without regard to location of the client.

3. **Question:** Will you determine or deem the cost proposal (for scoring purposes) based on submitted cost or negotiated back and forth you mentioned could happen?

**Response:** It is possible for proposals to be scored twice; once on submitted cost and a second time after a best and final offer phase.

4. **Question:** I have a question about the small and diverse business participation. What is considered small and what is your definition of small and diverse?

**Response:** Please refer to the Pennsylvania Department of General Service's websites,  
<http://www.dgs.pa.gov/Businesses/Small%20Business%20Contracting%20Program/Pages/default.aspx>,

<http://www.dgs.pa.gov/Businesses/Small%20Diverse%20Business%20Program/Small-Diverse-Business-Verification/Pages/default.aspx>.

5. **Question:** What is the PPA definition of a woman owned business? Is it required to have third party certification in order to be considered one? Since there is no official state certification for this, which accreditation is preferred?

**Response:** Please refer to the Pennsylvania Department of General Service's website, <http://www.dgs.pa.gov/Businesses/Small%20Business%20Contracting%20Program/Pages/default.aspx>.

6. **Question:** Can you clarify that registration with the Department of State will suffice for this RFP?

**Response:** Yes, Offerors may submit a Registration Statement from the Pennsylvania Department of State for proposals both in Philadelphia and Harrisburg.

7. **Question:** Regarding the Small and Diverse Business Requirements, will the evaluation process consider commitments to Small and Diverse Business subcontractors, or must the offeror itself be a Small and Diverse Business in order to be eligible for points in that category?

**Response:** The Authority will award points for Offeror's who submit a current SBPI certificate. The Authority is not considering subcontractors for this RFP.

8. **Question:** Regarding Conflict of Interest, Sections II-11 and III-1 state, respectively, "The Authority reserves the right to be the sole determiner of a conflict of interest. Any Offeror deemed by the Authority to have a conflict of interest may be disqualified or considered unqualified." And "To be eligible for selection, a proposal shall be... (d) submitted by an Offeror who does not have a conflict of interest." Will a proposal be rejected if a conflict of interest may exist at the time of submission, or will a potentially successful offeror have the opportunity to address a conflict to the Authority's satisfaction prior to the execution of the contract?

**Response:** A proposal will not be automatically rejected at the time of submission if a conflict of interest is identified. Once a perceived conflict of interest is identified by the Authority, the Authority and the Offeror will enter into discussions to address the conflict prior to making a final determination.

9. **Question:** The contract states, "Maintenance of Records. Regardless of the impact of the Right-to-Know Law, Company shall maintain all data, records, memoranda, statements of services rendered, correspondence and copies thereof, in adequate form, detail and arrangement, for the Authority's benefit for a minimum of three (3) years following the termination or expiration of this Agreement." Does the Authority have a Records Retention Policy in place that the Contractor may rely upon, and is that available?

**Response:** The Authority's Records Retention Policy is attached.

**END OF ADDENDUM ONE**

**RETENTION AND DISPOSITION SCHEDULE FOR**  
**RECORDS OF THE PHILADELPHIA PARKING**  
**AUTHORITY**

**DEFINITIONS**

The following words and terms, when used in this chapter, shall have the following meanings:

“Authority” shall mean the Philadelphia Parking Authority.

"Public records" shall mean any papers, books, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by an entity under law or in connection with the exercise of its powers and the discharge of its duties.

“Local Government Records Committee” shall mean the committee created by the Authority Records Act of January 18, 1968 (P.L. 961, No. 428).

**PURPOSE**

An effective records management program can reduce storage and retrieval costs and increase productivity. This policy is implemented in recognition of the need for a workable records management program. Authority staff may dispose of records in accordance with schedules and guidelines that have been approved by this policy. It is to be understood that the schedules authorize and recommend, but do not require the disposal of records after the expiration of approved retention periods. The Authority has adopted the retention guidelines of the Local Government Records Committee as most closely applicable to the Authority’s status as parking authority of a city of the first class. In the event this policy does not identify a document that is considered for disposal, the Authority shall comply with the retention guidelines of the Local Government Records Committee applicable to that document.

**PUBLIC RECORDS**

Public records in the possession of the Authority shall be retained for the periods provided herein. In the event a public record is in the possession of the Authority, but not identified in this policy, the Authority will rely upon the period listed on the Authority Records Schedule published by the Pennsylvania Historical and Museum Commission Bureau of Archives and History at [phmc.pa.gov](http://phmc.pa.gov).

This policy shall apply to information in all forms and formats. The fact that information is created and stored electronically rather than on paper has no bearing on its retention status. All information included under the definition of a public record may be disposed of in accordance with the schedule provided herein. This policy is not intended to require the destruction of any public record.

PROCEDURES FOR THE DESTRUCTION OR TRANSFER OF AUTHORITY RECORDS

Records may be destroyed or transferred in conformance with the provisions of this policy and as follows:

(a) When a relevant Authority records custodian wishes to destroy **non-permanent records** listed on the schedule, each individual act involving the destruction of non-permanent records must be approved in advance and in writing by the Executive Director and General Counsel using a form to be developed by the General Counsel. For example, if a manager wants to destroy ten boxes of canceled checks in accordance with schedule guidelines, the Executive Director and General Counsel must give their approval. The same is true if two years later he/she wants to destroy another ten boxes of canceled checks.

(b) In the event the Authority comes into possession of **permanently valuable documents**, those documents may not be destroyed or transferred to another party without advance written approval of the Executive Director and General Counsel and the concurrence of the Authority’s Board. Prior to any such destruction, the permanently valuable documents shall be copied to microfilm or another medium acceptable to the Local Government Records Committee.

AUDIT REQUIREMENTS, FEDERAL AND STATE STATUTES/ADMINISTRATIVE REGULATIONS AND RECORDS INVOLVED IN LITIGATION

Records subject to audit must be retained for the periods listed in the schedule and must be audited and all findings resolved before such records may be destroyed. Applicable Federal and State statutes and administrative regulations may necessitate retaining records for a longer period of time than indicated in the schedule. Information on specific program regulations should be obtained from the appropriate administering/funding/licensing agency. Conversely, such statutes and regulations may permit a shorter retention than indicated in the schedule. In those instances please contact the General Counsel’s Office before disposing of records.

Records involved in any litigation must be retained until final disposition of the case even if they have met the minimum retention requirements.

**POLICY AND GUIDELINES FOR THE MANAGEMENT OF ELECTRONIC RECORDS INCLUDING ELECTRONIC MAIL (E-MAIL) SYSTEMS**

**1. Purpose**

Establish and clarify a records management policy for Authority employees with respect to the creation, use, maintenance, scheduling and disposition of electronic records including those created on e-mail systems.

**2. Objectives**

**2.1** To ensure the efficient administration and management of electronic records and the preservation of those having long-term or permanent value.

**2.2** To help ensure the accuracy, usability, longevity and legal acceptance of electronic records maintained by Authority offices.

**2.3** To ensure the accessibility of electronic records in conformance with schedules approved by the Local Government Records Committee.

### **3. Scope**

Applies to all Authority employees and Board members.

### **4. Definitions**

**Analog:** Information in human readable form. It may be a duplicate, enlarged or reduced in size from the original.

**AIIIM:** The Association for Information and Image Management, a standards setting body affiliated with the American National Standards Institute (ANSI), which is the principal developer of standards for microform and information storage technologies involving images.

**ANSI:** The American National Standards Institute, a private standards organization in the United States which coordinates the development and maintenance of various industry standards.

**Binary Digit (bit):** represents the binary code (0 or 1) with which the computer works. A number of bits together are used to represent a character in the computer.

**Computer-Output Microfilm (COM):** Microforms containing data produced by a recorder from computer-generated signals.

**Converting Electronic Records:** The export or import of electronic records from one software to another without the loss of

structure, content and context even though the underlying bit stream pattern or code is likely to be altered.

**Copying Electronic Records:** The transfer of records from old storage media to new storage media with the same format specifications without any loss in structure, content and context. In copying electronic records, the underlying bit stream pattern or code on one storage medium is replicated on a new storage medium.

**Data:** Symbols or representations of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements.

**Data Base:** A set of data, consisting of at least one file or a group of integrated files, usually stored in one location and made available to several users at the same time for various applications.

**Density:** The number of bits in a single linear track measured per unit of length of the recording medium.

**Disposition of Records:** The changing of custody, location or existence of records including destruction.

**Electronic:** Relating to technology having electronic, digital, magnetic, wireless, optical, electromagnetic or similar capabilities.

**Electronic Mail (e-mail) Messages:** Documents that are created, stored and delivered in an electronic format. E-mail messages and their attachments are similar to other forms of communicated messages such as correspondence, memoranda, and circular letters. E-mail messages also contain features commonly associated with traditional records systems, including calendars, directories,

distribution lists, and attachments such as word processing documents, spreadsheets, or images that are incorporated into an e-mail message.

**Electronic Mail (e-mail) System:** A system that enables users to compose, transmit, receive, and manage text and/or graphic electronic messages and images across local area networks and through gateways connecting other networks. This information consists primarily of messages, but may include attachments such as calendars, directories, distribution lists, word processing documents, spreadsheets, and other electronic documents.

**Electronic Record:** A record created, generated, sent, communicated, received or stored by electronic means, including numeric, graphic, and text information recorded on any medium capable of being read by a computer which satisfies the definition of a record as defined in the Authority Records Act.

**Human Readable Format:** Refers to the representation of information that can be read with the human eye and does not require machine (computer) assistance. Printed material, microfilm and microfiche are examples of human readable format.

**Image:** (1) A representation of information produced by light/radiant energy. (2) In electronic imaging, a digital representation of a document.

**Information:** Data and documents that have been given value through analysis, interpretation or compilation in a meaningful form.

**Information System:** The organized collection, processing, transmission and dissemination of information in accordance

with defined procedures, whether automated or manual.

**Magnetic Media:** Variety of magnetically coated materials used by computers in electronic systems for data and program storage. This includes, but is not limited to: computer tapes, disks, diskettes and other electronic storage devices containing records.

**Microfilm:** (1) A fine-grain, high resolution film used to record images reduced in size from the original. (2) A microform consisting of strips of film on rolls that contain multiple microimages. (3) To record microphotographs on film. Microfilm shall be used and storage pursuant to procedures outlined by the Committee.

**Microform:** A form, usually film that contains microimages.

**Migrating Electronic Records:** Involves moving records from a currently used system or platform to a new one. Usually programs must be written and significant staff time must be allocated to accomplish a successful migration. High priority must be given to assuring that all records are migrated and meet applicable standards.

**Official Record Copy:** A single copy of a record designated as the official record of a government transaction retained by its custodian in accordance with the appropriate records schedule.

**Offline:** Logically or physically disconnected from the computer. For example a reel of tape is offline storage.

**Pixel:** Smallest element of a display surface that can be independently assigned color or intensity.

**Raster Computer Output Microfilm (RCOM):** Device that produces microforms from any computer-managed pixel image storage device.

**Receipt Data:** Information in e-mail systems regarding date and time of receipt of a message and/or acknowledgment of receipt or access by addressee(s).

**Record-keeping System:** A system (manual or electronic) for organizing and identifying records to speed their retrieval, use and disposition and to provide adequate documentation of the Authority's functions and business transactions.

**Records, Permanent:** Records appraised by the Local Government Records Committee as having sufficient historical, administrative or legal value to warrant continued preservation.

**Records, Vital:** Records regardless of archival value that are essential to functions of government during and after an emergency. Also those records essential to protect the rights and interests of that organization and of the individuals for whose rights and interests it has responsibility.

**Records Management System:** Organized collection of hardware, software, supplies, people, maintenance, training and policies to accomplish a set of specific functions.

**Records Retention and Disposition Schedules:** A comprehensive statement approved by the Local Government Records Committee showing retention periods and all actions to be taken with the respect to disposition of records.

**Transmission Data:** Information in e-mail systems regarding the identification of

sender and addressee(s), and the date and time messages were sent.

## 5. Policy

**5.1** Electronic records may be disposed of only in accordance with schedules provided in this policy.

**5.2** Permanent records are those records which have been scheduled for permanent retention either in the original or microform copy by the Local Government Records Committee or by applicable statute and regulation. Long-term records are any records that need to be retained for more than ten years.

**5.3** Authority employees are responsible for making provisions to retain either paper copies of permanently valuable electronic records, or making archival security microform or electronic copies to serve as a substitute. Archival security microform copies must be created and maintained in conformance with applicable standards approved by the Local Government Records Committee.

**5.3.1** In those instances where an electronic record is the original medium for records scheduled for permanent retention, such as the official recording of minutes, provisions must be made to provide paper copies of such records or to create archival security microfilm copies of the records. Provisions shall be made to protect permanently valuable databases such as indexes by converting the information to paper copy or archival security microfilm when the databases are moved offline. The use of raster computer output microfilm meeting appropriate standards is acceptable as the security copy.

**5.4** Offices that receive and use confidential information, as defined by

applicable laws, shall take appropriate measures to maintain the confidentiality of the records in order to protect the privacy of individuals, employees, taxpayers, clients or service recipients.

**5.5** Authority employees do not have to make provisions to retain non-permanent records **in electronic format in a human readable form; however, this policy is not intended to require the** destruction of any records.

**5.6** All records, whether created or stored on electronic systems must be retrievable and available for the retention period listed on records retention and disposition schedules approved by the Local Government Records Committee.

**5.7** Authority members and employees shall retain and dispose of e-mail messages and attachments that meet the definition of records in conformance with retention schedules approved by the Local Government Records Committee.

**5.8** Records may be deleted from an e-mail system if their required retention period has expired or after they have been copied to a records keeping system. Records may be maintained on a manual or electronic recordkeeping system. Records shall include transmission or receipt data.

**5.9** When duplicate copies of e-mail messages are sent internally, the sender should be responsible for maintaining the official record copy for the full applicable retention period. Duplicate copies should be retained as long as they have administrative value and then deleted from the system.

**5.10** E-mail messaging systems may be used as a document storage or records management system. Storing e-mail messages

within an Email system including personal folders can be sufficient to meet required retention and disposition schedules, as long as adequate and appropriate backup procedures are in place. Electronic messages with retention periods that are permanent or which may be considered vital, shall be printed.

**5.11** All copyright laws apply equally to e-mail (including attachments) or other electronic systems. Protection of copyrights requires the user to make to the greatest degree possible, a determination of authorship of any data utilized.”

**5.12** If a Authority ceases to maintain the hardware and software necessary to satisfy the conditions of the policy and guidelines, records that are contained in the system will be deemed destroyed by the Authority unless the existing records are converted to a human readable format or a format compatible with an electronic system that the Authority implements or continues to maintain.

**5.13** The implementation and use of an electronic records-keeping system should not limit or hinder public access to public records.

## **6 Procedures**

**6.1** Authority members and employees must maintain proper, up-to-date technical and system documentation for each information system that produces, uses, or stores electronic records. Minimum documentation required is: a narrative description of the system; physical and technical characteristics of the records; and any other technical information needed to read or process the records.

**6.1.1** An Authority employee who maintains government records on electronic recordskeeping systems must provide for the usability of image and index data over time by:

**6.1.1a** Providing a method for all authorized users of the system to retrieve desired records.

**6.1.1b** Provide an appropriate level of security to ensure integrity of the records.

**6.1.1c** Provide a standard interchange format when necessary to permit the exchange of records on electronic media using different software/operating systems and allow for the conversion or migration of records from one system to another.

**6.1.1d** Provide for the disposition of the records according to retention requirements approved by the Local Government Records Committee.

**6.1.1e** Establish procedures for regular copying, reformatting, and other necessary maintenance to ensure the retention and usability of electronic records throughout their required retention period.

**6.1.1f** Similar security precautions required of paper records must be employed when destroying or reusing electronic media that contain privacy-protected or confidential information. Electronic storage media containing such information must be electronically wiped clean or physically destroyed in such a manner that the information cannot be reconstructed.

**6.2** Before a record that will serve as the official copy is created and maintained on electronic systems, records must be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out the disposition of records in the system. Authority employees should ensure that records maintained in such systems can be correlated with related records on paper, microfilm, or other media.

**6.3** In the event that the Authority is unable at any point to manage e-mail messages for the full retention period in an electronic format shall create an analog copy (paper or microfilm). In addition to the content, the following information shall also be retained: name of sender, name of recipient, date and time of transmission and/or receipt. Records printed from e-mail systems shall be filed in accordance with standard office procedures.

**6.4** The Authority's IT Department shall establish standards/procedures to manage the storage of records on e-mail and shall not rely on e-mail server backup procedures to manage the retention and disposition of records created in e-mail systems.

## **7 Legal Admissibility of Electronic Records**

To enhance legal admissibility of records in electronic format and help ensure Authority records may be used as evidence in court proceedings, trustworthiness must be established by thoroughly documenting the record-keeping system's operation and the controls imposed on it. To implement procedures to enhance the legal admissibility of electronic records, Authority employees should:

**7.1** Document that similar kinds of records generated and stored electronically are created by the same processes each time and have a standardized retrieval approach.

**7.2** Substantiate that security procedures prevent unauthorized addition, modification or deletion of a record and ensure system protection against such problems as power interruptions.

**7.3** Identify the electronic media on which records are stored throughout their lifecycle

and the maximum time span that records must remain on each storage medium in order to comply with minimum retention periods established by the Committee.

**7.4** Coordinate all of the above with IT professionals, legal counsel, information managers, and records management staff.

## **8 Security of Electronic Records**

The Authority's IT Department shall implement and maintain an effective records security program that incorporates the following to:

**8.1** Ensure that only authorized personnel have access to electronic records.

**8.2** Provide for backup and recovery of records to protect against information loss. Documented disaster recovery plans and procedures shall be established for all electronic records systems. Disaster recovery plans and procedures should be reviewed and updated at least annually.

**8.3** Ensure that Authority personnel are trained to safeguard sensitive or classified electronic information.

**8.4** Minimize the risk of unauthorized alteration or erasure of electronic records.

**8.5** Ensure that electronic records security is included in a computer systems security plan.

**8.6** Implement a security protocol that will provide contemporaneous notice the author or owner of an electronic record of any third party access made to that record, including access by IT Department personnel.

## **9 Selection and Maintenance of**

## **Electronic Records Storage Media**

Authority employees shall select appropriate media and systems for storing records throughout their life which meet the following requirements:

**9.1** Specific requirements in selecting storage media.

**9.1.1** Permit easy retrieval in a timely fashion.

**9.1.2** Retain the records in a usable format for the length of their required retention period.

**9.1.3** When appropriate, meet requirements for transferring electronic records to the State Archives.

**9.2** The following factors shall be considered by the IT Department before selecting a storage media or when converting from one medium to another:

**9.2.1** The required retention period of the records.

**9.2.2** The maintenance necessary to retain the records in that format.

**9.2.3** The costs of storing and retrieving the records maintained in that format.

**9.2.4** The density of the record.

**9.2.5** The access time necessary to retrieve stored records.

**9.2.6** The portability of the medium (selecting a medium that will run on equipment produced by multiple manufacturers) and the ability to transfer information from one

medium to another as well as the flexibility of the software to be migrated into a different medium if desirable or necessary.

**9.2.7** Compliance of the storage medium with current industry and/or Federal standards if applicable.

**9.3** Authority employees shall ensure that all authorized users can identify and retrieve information stored on removable drives, disks or tapes by establishing or by adopting procedures for external labeling as well as procedures for computer library subsystems for storage media identification.

**9.4** Authority employees shall ensure that information is not lost because of changing technology or deterioration by converting storage media to provide compatibility with the Authority's current hardware and software. Before conversion to a different medium, Authority employees shall determine that the authorized dispositions of the

electronic records can be implemented after conversion.

**9.5** Authority employees should maintain electronic records in the filing locations identified by the IT Department. The IT Department shall back up electronic records on a regular basis to safeguard against the loss of information due to equipment malfunctions or human error. Duplicate copies of permanent records should be maintained in separate buildings. All security copies of vital electronic records, regardless of retention period, should be stored in a separate building.

**9.6** For the maintenance of magnetic computer medium, IT Department employees shall follow industry and national standards for safeguarding information.

**9.7** The Authority will not use optical discs as a primary method of storing electronic information.

## **ADMINISTRATIVE AND LEGAL RECORDS**

**AL-1 Administrative and Subject Files:** Often referred to as Administrative Files, General Correspondence, Program Files or Subject Files. May include correspondence, reports, program forms and other records created or received in the course of administering specific programs and providing basic Authority functions. Portions of the file or the complete file may contain records which summarize primary program activities and functions such as annual departmental/office reports, procedural manuals, long-term studies or comprehensive program assessment studies, series of bulletins/newsletters and other published materials created in connection with special events or the administration of on-going programs, and correspondence documenting agency policy. Such files may also include or consist primarily of routine correspondence; replies not part of a specific subject file; communications on supply, maintenance and other internal operations matters; correspondence of a transitory nature having no value after an action is completed; and general housekeeping records. Files may include items such as technical or professional publications maintained solely for reference purposes that are not considered to be “records” under the Authority Records Act.

(1) Records that summarize the origin and administration of major Authority policies and programs. **Retain permanently** for administrative and historical purposes.

(2) Routine correspondence and program files, and housekeeping records. **Retain as long as of administrative value.**

**AL-2 Agendas:** Includes agendas for meetings of governing bodies, boards, agencies and committees. **Retain** one copy permanently if not included with minutes. Retain duplicate copies as long as of administrative value.

**AL-3 Reserved.**

**AL-4 Bonds, Performance and Security:** Includes bonds required of employees or contractors. **Retain** 6 years after expiration. **Retain** as prescribed by the retention period for contracts if bonds are part of a contract.

**AL-5 Bylaws, Regulations and Rules of Order:** **Retain** until superseded or revoked.

**AL-6 Reserved.**

**AL-7 Charters and Related Records:** **Retain permanently** for administrative, legal and historical purposes.

**AL-8 Contract Files:** Includes advertisements, instruction to bidders, specifications, bids and proposals, bid summary and tabulation sheets, signed original contracts, instructions to bidders, leases or agreements, certified payrolls and other supporting work papers.

**(1) Bids, Proposals, Price Quotations and Qualified Contractor Memoranda**

If successful - **Retain 6 years** after termination of general written contracts. **Retain** records related to construction contracts 12 years after termination.

If unsuccessful - **Retain 3 years** after job completion.

**(2) Contracts and Agreements:** **Retain** general written contracts **6 years** after termination. **Retain** construction contracts **12 years** after termination.

**AL-9 Deeds to Authority Property and Related Land Records:** Includes date, names of grantors and grantees, property description and location, amount of sale, conditions and terms of deed, date recorded and signature of Recorder. Includes date, names of grantors and grantees, property description and location, amount of sale, conditions and terms of deed, date recorded and signature of Recorder. **Retain** permanently for administrative, legal and historical purposes.

**AL-10 Disaster plans for Authority Facilities:** Includes information on disaster response team, emergency procedures, records priorities, rehabilitation/recovery methods, and may include information on supplies and services as well as floor plans.

**Retain** until superseded or obsolete.

**AL-11 Easements:** Used to document the Authority's right to limited use of private property. Shows date, names and signatures of parties involved, location of property and terms of agreement. **Retain** permanently.

**AL-12-13.** Reserved.

**AL-14 Grant Administration Records:** Includes fiscal and program records.

**Comply** with retention requirements promulgated by the appropriate administering/funding/licensing agency.

**AL-15 Hazardous Substance Survey Forms (HSSF):** **Retain** 30 years. If used as health and exposure record for employee involved in a specific incident, Retain 30 years after termination of employment.

**AL-16** Reserved.

**AL-17 Insurance Claims and Policies:** Includes fiscal and program records. Includes policies or contracts of insurance, claims and supporting papers for liability, property and other areas of Authority operations. **Retain** claims **6 years** after final settlement. **Retain** policies, contracts and supporting papers **6 years after expiration**, provided all claims have been settled.

**AL-18 Legislative Investigation Records:** **Retain** 10 years; then contact State Archives regarding historical value.

**AL-19 Litigation Case Files:** Contains papers relating to all types of cases litigated on behalf of the Authority.

(1) **Case Files:** **Retain** closed cases as long as of administrative and legal value. **Retain** cases of precedential value permanently.

(2) **Opinions:** **Retain** permanently for administrative and legal value.

**AL-20** Reserved.

**AL-21 Mailing Lists:** **Retain** until superseded or obsolete.

**AL-22 Master Property and Equipment/Fixed Assets Inventories:** Listing of all Authority-owned equipment and physical property. May include equipment lists, serial or model numbers, purchase costs, insurance records, expenditures and year purchased. "Fixed assets" involves property used for the production of goods and services, such as machinery, mineral resources, buildings etc. **Retain** property and equipment inventories 5 years after superseded or obsolete. **Retain** fixed assets inventories permanently.

**AL-23 Material Safety Data Sheets (MSDS):** Includes information supplied by manufactures on all hazardous substances in particular products used in the workplace in conformance with section 4 of Act (35P.S.7304). Indicates product identification; ingredients; fire, explosion and reactivity data; environmental and precautionary information; health hazard data; and suggested first aid. Used to comply with the U.S. Department of Labor, Occupational Health and Safety Regulations.

**Retain** 30 years. If used as health and exposure record for employee involved in a specific incident. **Retain** 30 years after termination of employment. (See **Personnel Records**, Individual Employee Medical Records).

**AL-24 Minutes:** Minutes of the Board and Committee meetings.

(1) **Official Minutes:** **Retain** permanently for administrative, legal and historical purposes.

**(2) Recordings of Public Meetings: Retain** recordings of public meetings used in the preparation of the official minutes until the official minutes are approved. **Retain** recordings of public meetings made for other purposes as long as of administrative value.

**AL-25 Authority Lien Files:** Liens filed by the Authority to secure payment for penalties or other purposes. **Retain** 1 year after satisfaction.

**AL-26 Authority Obligations:** Relates to the financing of Authority projects through bonded indebtedness and loans. May include applications, proposals, correspondence, and the original financial instruments.

**(1) Bonds and Coupons: Retain** 6 years after cancellation.

**(2) Bond Ledgers and Books: Retain** permanently for administrative and legal purposes.

**(3) Canceled Notes: Retain** 6 years.

**(4) Loan Files: Retain** 6 years after final payment on loan.

**AL-27 Authority Records Disposal Certification Request Forms:** When necessary to submit to the Pennsylvania Historical and Museum Commission. **Retain** permanently for administrative, and legal purposes.

**AL-28 Notices of Violation of Municipal Ordinance (Not parking violations):** Includes notice of violation, correspondence and resolution. **Retain** 30 days after issue is settled or resolved.

**AL-29 Oaths of Authority Officials:** **Retain** 6 years.

**AL-30 Permits and Licenses:** Business or special event license or permit issuance records covering vendors, peddlers, trash collectors, flea markets, yard sales, entertainment and recreational events, explosive license records or other local legislation and similar permit applications. **Retain** 3 years after expiration of license or denial of application.

**AL-31 Petitions:** **Retain** 5 years. **Retain** permanently those resulting in an ordinance or charter change.

**AL-32 Photographs:** Includes photographs of Authority officials, buildings, public celebrations, etc. **Retain** as long as of administrative value; then contact State Archives regarding historical value.

**AL-33 Press Release:** Announcing matters relating to the Authority's business or administrative operations, the release indicates date, details of the event or activity and officials involved. **Retain** as long as of administrative value.

**AL-34 Proclamations and Letters of Commendation:** Includes official proclamations relating to Authority events and letters of commendation for employees, citizens etc.

**Retain** permanently for administrative and historical purposes.

**AL-35 Public Meeting/Hearing Notices and Proof of Publication:** Notice contains information such as meeting date, location and time. Proof of publication includes documentation verifying that proper public notice was given. **Retain 10 years.**

**AL-36 Recycling Program Records:** **Retain** 10 years.

### **AL-37 Reports**

**(1) Annual Authority Reports:** **Retain** permanently for administrative, legal and historical purposes if not part of the minutes.

**(2) Quarterly, Monthly and other Periodic Routine Activity Reports:** **Retain** as long as of administrative value.

**AL-38** Reserved.

**AL-39 Request for Service Records:** Includes nature of request, name of respondent, and resolution. **Retain** 1 year after satisfaction of request.

**AL-40 Resolutions and Ordinances:** Consists of resolutions and/or ordinances indicating date, issue or policy involved, and appropriate signatures. Relates to various aspects of Authority administration and business.

**Retain** permanently for administrative, legal and historical purposes. Authority resolutions should be retained with meeting minutes.

**AL-41** Reserved.

**AL-42 Sales and Use Tax Exemption Certificates:** Department of Revenue form includes type of expenditure, name and address of Authority, official's title and signature.

**Retain** 3 years from the end of the year in which the last sale or lease takes place.

**AL-43 Survey of Financial Condition Forms (Submitted to Pennsylvania Department of Community and Economic Development):** **Retain** 5 years (if applicable).

**AL-44 Survey Records:** Includes employee and opinion surveys, and summaries.

**Retain** routine surveys as long as of administrative value.

**Retain** those relating to budget or charter changes permanently.

**AL-45 Treasurers' Bond Certifications:** Includes name, amount of bond, surety company, date, and signatures. **Retain** 7 years.

**AL-46 Right To Know Requests:** Requests for records made pursuant to open records legislation. Includes written request, information submitted with the request, related communications, and response. **Retain** 2 years.

## **FINANCIAL AND PURCHASING RECORDS**

**FN-1 Account Distribution Summaries (Treasurer's Report):** Includes records showing a summary of receipts, disbursements and other activity against each account.

Weekly/Monthly- **Retain** 3 years.

Year-End – **Retain** 7 years.

**FN-2 Accounts Payable Files and Ledgers:** May contain bills, check vouchers, invoices, purchase orders and requisitions, receiving reports and other records of payment for goods and services. Used to document monies spent by the Authority or one of its cost centers. **Retain** 7 years.

**FN-3 Accounts Receivable Files and Ledgers:** Used to document monies owed and paid to the Authority. Generally shows date, department or fund, amount received and account totals. **Retain** 7 years.

**FN-4 Annual Audit and Financial Reports:** Including Elected and Appointed Officials, Survey of Financial Condition and Tax Information submitted to the Pennsylvania Department of Community and Economic Development. **Retain** 5 years.

**FN-5 Annual Budgets and Related Records:** Usually includes final budget as approved, departmental requests, review files, correspondence and related papers: **Retain** one copy of the annual budget permanently. **Retain** all other related papers 7 years.

**FN-6 Audit Reports-Official:** Record of examination of Authority finances prepared by internal or external auditors. Usually includes financial statements showing the status of all funds and accounts. **Retain** Permanently.

**FN-7 Audit Workpapers:** Consists of accounting notes and papers used in preparation of official audit reports. **Retain** current plus 3 prior audit cycles.

**FN-8 Balance Sheet:** Lists assets and liabilities, and shows the financial condition of the Authority on the last day of the accounting period. **Retain 7 years.**

**FN-9 Bank Statements and Reconciliations:** Prepared by banks, record indicates date, Authority deposits and withdrawals, and account totals. **Retain 7 years.**

**FN-10 Cancelled Checks:** Consists of checks that have been paid by the bank and returned to the depositor as evidence that the payee has received the funds. **Retain 7 years.**

**FN-11 Check Registers:** Usually shows date, check number, vendor name or number, gross amount, discount and final amount of check. **Retain 7 years.**

**FN-12 Daily Cash Records:** Indicates daily cash balances, receipts and disbursements for each department. **Retain 3 years.**

**FN-13 Deposit Slips.** Consists of copies of slips listing and accompanying bank deposits showing date, account, check numbers and amounts. **Retain 7 years.**

**FN-14 Depreciation Schedules.** Used for planning equipment expenditures and budgeting, record indicates depreciation allowances for age or wear. **Retain** for life of equipment plus 3 years.

**FN-15 Expense Reports (Employee):** Contains record of expenditures by employees traveling on official business. May also include receipts, permission slips or authorization forms, and other records relating to travel expenses. **Retain 7 years.**

**FN-16 Financial Statements:** Usually indicates date, account, receipts, expenditures (actual and budget) and balances. Periodic- **Retain** until final completion of audit. Certified by auditor- **Retain** permanently.

**FN-17 Investment Records:** Includes records relating to original financial instruments executed to invest Authority funds showing amount of certificate, term and rate of interest. **Retain 6 years** after cancellation.

**FN-18 Purchase Order Files:** Copy of purchase order usually shows number, name and address of vender, department and account, date, quantity, unit price and total cost. File may also include invoices, bills of lading and purchase requisitions. **Retain 7 years.**

**FN-19 Purchasing Files:** Relates to acquisition of services, goods and equipment. File may include specifications, bids, quotes, contracts and other related papers. **Retain 6 years.**

**FN-20 Supply Requisitions:** Usually indicates date, department requesting supplies, items needed, total cost and account number. **Retain** 2 years.

**FN-21 Surplus Property Logs:** Consists of inventory control logs listing surplus property by item. May include description, inventory number, cost, year purchased and date inventoried. **Retain** until suspended or obsolete.

**FN-22 Surplus Property Sale Files:** Contains legal advertisements, quotes or offers from vendors, inventory of sale items, receipts or transmittals for funds received and title transfers. **Retain** 3 years.

**FN-23 Utility and Paid Service Receipts:** **Retain** 7 years.

**FN-24 Vendor Files:** Includes vendor's name and address, product and service information, vendor identification and name of contact person. **Retain** until superseded or obsolete.

**FN-25 Voucher Files:** Record generally shows number, date, description of goods or services, and amount. Copy of check or check request is usually attached and indicates date, department, vendor name and amount. **Retain** 7 years.

## **INFORMATION TECHNOLOGY RECORDS**

**IT-1 Computer Inventory Records:** Records documenting the assignment of a specific computer to an individual as well as inventories of licensed software, may include address or mailbox data assigned to the individual. **Retain** 4 years after computer removed from service or is reassigned.

**IT-2 Computer Systems Documentation:** Hardware and software manuals and program coding. **Retain** 1 year after migration of all records with ongoing value to new system.

**IT-3 Equipment and Network Usage Documentation:** Policies and procedures for appropriate use of agency equipment and software including those covering access and security, systems development, and data retention and disposition. **Retain** 1 year after updated or superseded.

**IT-4 Equipment Records:** Includes purchase orders, warranties, service contracts, service histories and correspondence. **Retain** for life of equipment.

**IT-5 Computer Usage Files and Reports:** Electronic files or automated logs created to monitor computer system usage including but not limited to login files, system usage files, data entry logs, records of individual computer program use and reports detailing department costs. **Retain** for 1 year.

**IT-6 Network and PC Password and Security Identifications:** Records documenting the issuance or selection of a network password and the administration of security of the Authority's network. **Retain** for 1 year.

**IT-7 System Architecture Documents and Wiring Schemas:** Records documenting the location of wiring and the design of the overall agency network environment. **Retain** for life of network.

**IT-8 Operating System and Hardware Conversion Plans:** Records relating to the replacement of equipment or computer operating systems. **Retain** 1 year after successful conversion.

**IT-9 Disaster Preparedness and Recovery Plans:** Records related to the protection and reestablishment of computer services and equipment in case of a disaster. **Retain** until superseded or revised.

**IT-10 System Backup Files:** Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of disaster. **Retain** until superseded.

**IT-11 Security Records:** Records used to control or monitor the security of a computer system and its data, including but not limited to information relating to firewalls, intrusion detection, unauthorized access and other security measures. **Retain** 1 year.

**IT-12 Input Documents:** Copies of records or forms designed solely for input into the system when the original records are retained by the originating office. **Retain** as long as of administrative value.

**IT-13 User Requests for IT Services:** Records used to document the requests for technical assistance and responses to these requests. **Retain** as long as of administrative value.

**IT-14 Network Implementation Project Files:** Records used to plan and implement a network including reports, justifications, and working diagrams of proposed network.

**Retain** until superseded.

## **PAYROLL RECORDS**

**PL-1 Cancelled Payroll Checks:** Retain 7 years .

**PL-2 Employee Payroll Adjustment Records:** Usually includes employee's name and social security number and amounts withheld for Federal and State taxes, insurance, bonds and any other deductions. Retain 4 years.

**PL-3 Individual Employee's Earning Record - Terminated Employees:** Salary history includes employee's name and address, social security number, department, position, date of birth, date employed, and salary/earnings history totals posted for the duration of employment.

**Employees Who Separate With Post-Termination Benefits: Retain** 5 years after all benefits have been paid if not part of personnel files.

**Employees Who Separate Without Post-Termination Benefits: Retain** 5 years after termination of employment.

**PL-4 Payroll Deduction Authorizations:** Completed by employee, the record usually indicates employee's name and address, department, social security number, deductions authorized and employee's signature. Retain 4 years after cancelled or superseded.

**PL-5 Payroll Earnings and Deductions Registers:** Generally includes employee's name and social security number, gross earnings, taxes withheld, deductions, net earnings, check number and date of employment.

**Pay Period Reports - Retain** 4 years.

**Year-to-Date Annual Summary** - If payroll data is posted to individual employee's earning record, retain 7 years; otherwise, retain 50 years.

**PL-6 Payroll Voucher (Check) Registers:** Shows date, check number and amount, employee's name and social security number, and department. Retain 7 years.

**PL-7 Pension Files – Individual Employees:** Contains records relating to status of individual pension accounts including beneficiary information, contributions, withdrawals and any other actions relating to the account. Retain 3 years after all benefits have been paid.

**PL-8** Reserved.

**PL-9 Pension Plans– Annual Summary Records:** Includes summary data compiled annually to document the employment history of employees, their eligibility for pension benefits, and the payment of benefits. **Retain** permanently for administrative purposes.

**PL-10 Pension Plans - Administration Records:** Shows terms and conditions of pension benefits payable to eligible retired employees. May also include actuarial evaluations, reports, data sheets and other records used to administer the plans. **Retain** 6 years after termination of plan.

**PL-11 Quarterly Returns of Withholding of Federal Income Tax:** Includes reports showing Federal Income taxes withheld from employee's pay by quarter. **Retain** 4 years.

**PL-12 Quarterly Statements of State and Local Taxes Withheld**

**Consists of reports showing state and local taxes withheld from employee's pay by quarter. Retain** 4 years.

**PL-13 Social Security Reports:** Shows social security withholdings from employee's pay. Indicates employer's name, reporting period, number of employees, wages paid and contributions to the fund. **Retain** 4 years.

**PL-14 Time Cards and Attendance Records (Includes Vacation and Leave Slips and Work Schedules).** Usually indicates employee's name, date, and hours worked each day.

**Retain** 3 years.

**PL-15 Unemployment Compensation Records:** Includes quarterly reports showing unemployment compensation contributions paid by the Authority and wage reports indicating social security numbers, employees' names and total wages. **Retain** 4 years after contributions have been paid.

**PL-16 Wage and Tax Statements (W-2 Forms):** Shows employer's name and address; employee's identification and social security numbers, name and address; gross earnings; and amounts withheld for Federal, State and local taxes. **Retain** 4 years after due date of tax.

**PL-17 Withholding Allowance Certificates (W-4 Forms):** Indicates employee's name and address, social security number, exemptions and signature. **Retain** 4 years after new certificate is filed or employment is terminated.

**PL-18 1099 Forms (Employer's copy of U.S. Information Return for Calendar Year)** **Retain** 4 years.

## PERSONNEL RECORDS

**PS-1 Administrative Organizational Charts:** Charts show organizational breakdowns for offices and departments.

**Retain** one copy permanently if not included with minutes. **Retain** duplicate copies as long as of administrative value.

**PS-2 Applications for Employment (Not Hired):** Includes employment applications, resumes, and other pre-employment records for persons not hired. **Retain** 2 years.

**PS-3** Reserved.

**PS-4 Commercial Drivers License Records (CDL):** May include job applications, driver information, employment record, drug test results, accident reports, reviews and summaries, I-9 forms, violations and supervisor training records.

**Comply** with retention requirements promulgated by the appropriate licensing agency.

**PS-5 Emergency Information Sheets** **Retain** most recent update for tenure of employee.

**PS-6 Employee Health Insurance Claim Files:** Includes claims submitted by employees for reimbursement of medical expenses incurred under health care coverage. May also contain supporting papers such as physician's statements. **Retain** 5 years after settlement of claim.

**PS-7 Employee Medical Records:** Includes pre-employment physicals and other medical records showing the health or physical condition of employees during their tenure of employment.

**Retain** same length of time as Employee Personnel Records. However, if employee has been exposed to toxic substances or harmful physical agents in the work place, **Retain** at least 30 years after termination of employment and comply with appropriate Occupational Safety and Health Standards issued by the U.S. Department of Labor (29 CFR Ch. XVII).

**PS-8 Employee Personnel Records:** Includes Applications for Employment, Commendations, Correspondence, Health Insurance Membership Applications, I-9 Forms, Letters of Resignation, Life Insurance Applications, Performance Evaluations, Personnel Change Forms, Personnel History Card, Photo Identification Records, References, Resume, Retirement Membership Applications, Salary Review Forms, Separation Report, Training Records, and Vacation and Sick Leave Reports.

**Employees Who Separate With Post-Termination Benefits:**

**Retain** summary information including employee's name, address, date of birth, Social Security number, job and salary history, benefit information, and termination data permanently if not maintained in a separate file.

**Retain** all other records 5 years after termination of employment. (If applicable, comply with union rules relating to certain types of personnel records such as evaluations and reprimands).

**Employees Who Separate Without Post-Termination Benefits: Retain** 5 years after termination of employment. (If applicable, comply with union rules relating to certain types of personnel records such as evaluations and reprimands).

**PS-9 Equal Employment Opportunity Records:** Includes affirmative action report (EEO-4) showing total number of job positions broken down by employment classifications, and related records as well as official discrimination complaint files.

**Retain** compliance reports and related records 3 years. **Retain** official discrimination complaint case files 4 years after resolution of case.

**PS-10 Job Descriptions and Announcements:** Consists of narrative descriptions of the duties and responsibilities of employees.

Descriptions – **Retain** current plus one prior revision. Announcements – **Retain** 2 years after position has been filled.

**PS-11 Labor Negotiations Files:** Contains correspondence, reports and other documents used to negotiate contracts with labor unions representing employees. **Retain 5 years after expiration of contract.**

**PS-12 Labor Union Contracts:** Negotiated with labor unions representing employees, the record includes date, terms of agreement and signatures of appropriate officials.

**Retain** 20 years after expiration.

**PS-13 Union Grievances:** Filed by employees represented by labor unions alleging violations of the contract. Record usually indicates date, parties involved, and grievance.

**Retain** 3 years after final resolution.

**PS-14 Worker's Compensation Records:** Consists of employer's report of occupational injury or disease, hospital statements, doctor's reports, correspondence and other papers relating to claims. **Retain** 4 years after the signing of final settlement receipt, or 4 years after death of recipient. **Retain** 10 years if suspension agreement has been filed.

## **POLICE (Enforcement) RECORDS**

### **PO-1 Motor Vehicle Records**

**(1) Accident Reports:** **Retain** 5 years after close of investigation if not part of Criminal History Case File.

**(2) Parking Violations (Tickets):** **Retain** 1 year after all fines have been paid.

**(3) Police Requests for Removal of Abandoned or Impounded Vehicles:** **Retain** 2 years.

**PO-2 Permits and Related Applications:** Includes handicapped parking, parades, inflammables and explosives, peddling and other permits. **Retain** 3 years after expiration.

### **PO-3 Towing Records**

**(1) Tow Truck Operator's Schedules:** **Retain** as long as of administrative value.

**(2) Towing Service Records** (lists date of tow, reason for tow, description of vehicle, and date of release). **Retain** 1 year after all fines have been paid.

**PO-4 Training Records:** Includes all training materials, reports, grants and studies created by the Authority. **Retain** as long as administrative value.

**PO-5 Video/Audio Tapes:** Documents activity on Authority property or involving Authority employees or property. Often used as evidence. **Retain** 30 days if not used as evidence.

**PO-6 Waivers/Release Forms:** Forms completed by citizen releasing the Authority from injury or damage claims. **Retain as long as administrative and legal value.**

## **PUBLIC WORKS/ENGINEERING RECORDS**

**PW-1 Applications/Licenses/Permits:** For access driveway locations, handicapped parking spaces, load zones and signs.

**(1) Annual or short term:** **Retain** 3 years after expiration.

**(2) Continuing/Indefinite:** Retain until revoked or suspended.

**PW-2 Complaints and Notification of Hazards:** Includes nature of complaint, details of incident, investigation information and disposition. **Retain** 2 years after correction/final resolution.

**PW-3 Construction Inspection Reports:** Includes regular and special inspection reports of Authority buildings and public works facilities. Serves as evidence of compliance by contractors with codes, specifications, and other requirements. **Retain** 12 years after acceptance of project.

**PW-4 Construction Plans and Specifications:** Usually developed by architects and engineering consulting firms under contract with the Authority for designs of buildings and facilities, the plan includes descriptive narrative and drawings. **Retain** until structure is reconstructed or is no longer Authority property/responsibility; transfer to new owner if appropriate.

**PW-5 Engineering Drawings:** Contains original engineering drawings of Authority buildings and public works projects usually developed by Authority engineers or architects/ engineering consulting firms and showing design details. **Retain** permanently for administrative and historical purposes.

**PW-6 Equipment Records:** Consists of operational and maintenance records for Authority public works equipment showing date of inspection or repair and work done.

**Retain** for life of equipment.

**PW-7 Maintenance Records-Road/Building/Facility:** Relates to maintenance and other work performed on major equipment, systems or infrastructure. Usually indicates date, type of repair, cost and persons doing the work.

**(1) Routine:** Retain 5 years

**(2) Structural:** Retain until structure is reconstructed or is no longer Authority property/responsibility; **transfer** to new owner if applicable.