
MANAGEMENT DIRECTIVE

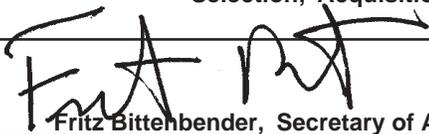
210.6
Amended
Number

COMMONWEALTH OF PENNSYLVANIA GOVERNOR'S OFFICE

Subject:

Selection, Acquisition, and Use of Filing Equipment

By Direction Of:



Fritz Bittenbender, Secretary of Administration

Date:

September 16, 2002

This directive outlines responsibilities and procedures for the selection, acquisition, and use of filing equipment. This amendment revises one definition and reflects organizational changes at the Pennsylvania Historical and Museum Commission.

1. **SCOPE.** This directive applies to all agencies under the Governor's jurisdiction.

2. **OBJECTIVES.**

a. To support records management programs in agencies by controlling the volume of records stored or maintained in state-owned or leased facilities.

b. To provide consulting services to agencies to ensure that filing systems are adequate, efficient, and functional with respect to an organization's mission.

3. **POLICY.**

a. Responsibilities for defining and coordinating a Commonwealth Records Management Program have been assigned by the Governor to the Secretary of Administration pursuant to *Executive Order 1992-1, Records Management*.

b. Acquisition of filing equipment is to be based on actual need as determined by analysis of an agency's records retention and disposition practices, current filing equipment, cost, space, and system requirements. Availability of funds, in itself, does not constitute a basis for approval.

c. This directive includes all types of filing equipment, regardless of the source of funds used to defray costs. It applies to the issuance of filing equipment from the Department of General Services (DGS), direct transfer from another organization, or other acquisitions. Specialized equipment for library materials and components of modular furniture systems that are an integral part of a single workstation (i.e., desk) are exempt.

d. Requests to acquire freestanding modular furniture that is utilized for filing purposes must be submitted in accordance with Section 6., Procedures.

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- e. This directive should be used in conjunction with *Management Directive 210.5, Records Management*, and other related Management Directives.

4. DEFINITIONS.

a. **Filing equipment.** Any mechanism, cabinet, or arrangement for containing or storing records including letter, legal, special, or odd-sized cabinets, regardless of the number of drawers, shelves, or compartments; tab card, index card, and mechanized equipment; and open shelf equipment.

- b. **Records.** Any recorded information, regardless of physical form or characteristics, that documents a transaction or activity of an administrative department, board, or commission and that is created, received, or retained by such administrative department, board, or commission pursuant to law or in connection with the transaction of official business.

c. See *Management Directive 210.5* for additional definitions relevant to records management.

5. RESPONSIBILITIES.

a. **Agency Heads** are to:

(1) Establish and maintain a continuing program for the economical and efficient management of their agency's records.

(2) Appoint a Records Coordinator to have agency-wide responsibility to review requests for and control the acquisition of new or surplus filing equipment.

- b. **The Division of Records Administration and Image Services (DRAIS), Pennsylvania Historical and Museum Commission (PHMC)** is to:

(1) Assist agencies in determining needs and in selecting the proper equipment.

(2) Provide records management training for agency Records Coordinators and staff.

c. **The Department of General Services (DGS)** is to:

(1) Receive and control serviceable surplus filing equipment for issue in lieu of new equipment.

- (2) Release surplus filing equipment to state agencies only in accordance with *Manual M215.3, Field Procurement Handbook*.

6. PROCEDURES.

a. Analyses of filing equipment requirements should be made using Enclosure 1 as a guide. Agencies acquiring high-density or movable shelving systems should refer to Enclosure 1, 4.c., Safety Requirements.

- b. Filing equipment excess to an agency's needs is to be reported to DGS in accordance with *Manual M215.3*.

c. Approvals to acquire filing equipment are to be obtained in accordance with the following:

1. **Requester** notifies agency Records Coordinator of forthcoming requirements.

2. Requester and Records Coordinator verifies need for equipment using the agency/general retention and disposition schedules. (New programs and otherwise unscheduled records must be added to the agency schedule within six months of the date of the equipment request. Failure to do so will result in the suspension of all filing equipment acquisition approvals until the items have been properly scheduled. See Enclosure 1.)

3. Requester prepares request for filing equipment and sends request to agency Records Coordinator. (See Enclosure 2 for sample request form.)

4. Records Coordinator reviews request for completeness, giving consideration to the agency's recordkeeping design, as authorized in the records retention and disposition schedule, and forwards approved request to the agency's Director of Administrative Services, or equivalent, for review and concurrence.

5. Director of Administrative Services or equivalent evaluates request and indicates appropriate action and returns request to agency Records Coordinator.

6. Requester and Records Coordinator coordinates acceptance and issuance of surplus equipment with Department of General Services, Bureau of Supplies and Surplus Operations, or acquisition from other sources.

Enclosures:

- 1 – Guide to Analysis of Filing Equipment Requirements
- 2 – Sample Request for Filing Equipment

This directive replaces, in its entirety, Management Directive 210.6 dated March 7, 2000, which should be recycled.

GUIDE TO ANALYSIS OF FILING EQUIPMENT REQUIREMENTS

1. An analysis of requirements for filing equipment should include a review of all records equipment and records management practices. A physical review should be made of equipment and files. All filing equipment in the area should be listed. If the volume of records has increased significantly since an earlier analysis, open shelf filing should be considered.
2. A "NO" answer to any of the following questions calls for corrective action:
 - a. Are all records in the headquarters and field offices covered by records retention and disposition schedules approved by the Executive Board?
 - b. Are records being disposed of according to the agency's approved schedule?
 - c. Have retention periods been reduced to the absolute minimum? This includes retention in the agency as well as the overall retention period.
 - d. Have all eligible records been transferred to the State Records Center? The center accepts records on the Personnel and Accounting General Schedules as well as those on the agency schedule.
 - e. Are filing cabinets used to store only records material? Supplies, stocks of forms, publications, and similar items should be in storage cabinets, on shelving, or in other low cost storage equipment.
 - f. Are filing cabinets fully used, including top and bottom drawers? Allow for five inches of working space in each file drawer. Consolidate contents of cabinets wherever possible.
3. Obtain information about each records series involved as follows:
 - a. Linear inches of records on hand.
 - b. Linear inches of records accumulated annually.
 - c. Average number* of daily references to the file.
 - d. Average number* of daily additions to the file.
 - e. Average number* of daily refiles.
 - f. Manhours spent daily on filing; number of persons engaged in filing operation.
 - g. Accessibility of files.
 - h. Floor space used for files.
4. Using the above information, the following factors are to be considered:
 - a. **Comparative Cost.** Compare cost of filing with present equipment and proposed equipment. Comparisons should be based on cost per filing inch.

*Average Number is obtained from actual workload experiences for at least one month.

b. Space Requirements. Consider the base rental plus electricity, maintenance, and any other costs of occupancy that are charged in proportion to the space occupied.

c. Safety Requirements. To ensure the continued safety of Commonwealth employees, it is required that agencies acquiring high-density or movable shelving systems have a weight bearing study of the proposed location approved by the Department of General Services prior to the purchase and installation of the system. This can be done by contacting the:

Department of General Services
Bureau of Engineering and Architecture
18th & Herr Streets
Harrisburg, PA 17125
Telephone: 717/787-7519

d. Purchase of Equipment. Include all costs such as freight, delivery, installation, and maintenance expenses.

e. Labor Savings. In addition to the cost of equipment, costs of clerical time should be considered. An effective filing system provides easy reference to the records so that the total filing effort can be performed in an efficient manner.

f. Retrieval Time. How quickly do you actually need information from the files? In what way does the present system fall short of meeting these needs?

SAMPLE REQUEST FOR FILING EQUIPMENT

1. Requesting Office/Bureau: _____

2. Contact person: _____ Date: _____
(Name/Phone No.)

3. Equipment requested:*

4. Unit Cost: \$ _____ Total Cost: \$ _____

5. *Offices acquiring high-density or movable shelving systems must have a weight bearing study of the proposed location approved by the Department of General Services prior to purchase and installation of the system. Has this study been done?

Yes _____ No _____

6. Are records associated with equipment request covered by the agency records retention schedule or one of the general records schedules?

Yes _____ If yes, indicate Records Series Number(s) _____

No _____ If no, item(s) must be added to the agency schedule within six months.

7. Is requesting office/bureau in compliance with its schedule? Yes____ No____ (Refer to *Management Directive 210.6* for compliance guidance.)

8. Justification for requested equipment:

9. Approvals: Equipment selection is cost effective and conforms with the agency records retention schedule, and/or general records schedules, file system, floor space allocation, and operational requirements.

(Records Coordinator)

(Date)

(Director of Administrative Services)

(Date)