

Pennsylvania Office of Administration  
Office of Enterprise Records Management  
Records Retention and Disposition Schedule  
Approved by the Executive Board

Records Retention and Disposition Schedule  
By Bureau

3/16/2016

**Agency:** 000                      General Retention Schedules  
**Bureau:** G004                    Legal

Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
G004.001	Litigation Case Files  Correspondence, court documents, research materials, reports, press releases, administrative litigation and other related information documenting agency litigation activities.  * AGY – Retain five (5) years after case is closed, then transfer to the State Records Center for seven (7) years.	M	No	5Y	7Y	1
G004.002	Litigation Case Files - Precedent-Setting  Correspondence, court documents, research materials, reports, press releases, and other related information documenting precedent-setting cases that directly affect an agency and its environs. In this context, “precedent-setting” means that the case impacted the previous status quo of the agency, its rules, way of doing business, etc.  * AGY – Retain five (5) years after case is closed, then transfer to the State Records Center for seven (7) years.	M	No	5Y	7Y	2
G004.003	Legal Opinions  A record of published, formal opinions on legal matters directly relating to the activities of state agencies.  * AGY - Contact State Archives for archival review after end of retention.	M	No	6Y	0Y	2
G004.004	Investigative Files  Documentation of internal investigations involving the agency, its officials, employees, or operations and policies. May include, but is not limited to: intake documentation, complaint forms, interview notes, hearing transcripts, investigation reports, appeals, hearing proceedings, and related correspondence.  * AGY - Retain one (1) year after close of investigation or litigation.	M	No	1Y	0Y	3
G004.005	Legal Issue Files  Files on legal issues of concern to a state agency. Interpretations of laws and policies, studies, reports, correspondence, copies of legal documents, and other materials pertaining to specific issues.  * AGY - Issue resolved plus six (6) years, then contact State Archives for archival review.	M	No	6Y	0Y	2

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G004.006	Sunshine Act Meeting Notices  Documentation of the commonwealth's policy to insure the right of its citizens to have advance notice of and to attend all public meetings of agencies, boards and commissions at which any official commonwealth business is discussed or acted upon. Includes, but is not limited to, correspondence, and related STD forms.  * AGY – Retain two (2) years, then transfer to the State Records Center for five (5) years.	M	No	2Y	5Y	1
G004.007	Professional Licensure and Certification Records  Documentation of the process to grant licenses or certifications to professionals. Includes, but is not limited to: • Application; • Testing documentation; • Background support materials; and • Related correspondence.  * AGY - Retain three (3) years from expiration or cancellation of license or certification, then contact State Archives for archival review.	M	No	3Y	0Y	2
G004.008	Regulation Files  Regulations proposed by an agency, board, or commission within the commonwealth. May include, but is not limited to: • Drafts, revisions and studies related to the regulation; • Information from public hearings; • Written public comments; • Fiscal notes; • Memos; and • Correspondence.  * AGY - Retain until superseded or obsolete, then contact State Archives for archival review.	M	No	0Y	0Y	2
G004.009	Third Party Subpoenas/Summons  Third party subpoenas and summons that do not fall under the Right-to-Know Law. May include, but is not limited to: • Written requests; • Agency responses; • Request tracking information; and • Correspondence.	M	No	3Y	0Y	3

Note: Documents may consist of confidential information.