



Delaware State Housing Authority

Retention Schedule

**Delaware State Housing Authority
18 The Green
Dover, DE 19901
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Approved 10/23/2020

DSHA'S HISTORY

The Delaware State Housing Authority was created in 1968 as a public corporation in the Delaware State Department of Housing. In 1970, DSHA became part of the Department of Community Affairs and later, in 1987, joined the Delaware Economic Development Office. Recognizing the critical services provided by DSHA, Governor Thomas R. Carper established DSHA as an independent authority in the Executive Department in 1998, with its Director, Susan Frank, reporting directly to the Governor as a member of the Cabinet. This historical step cemented the role of affordable housing as a key aspect of State policy.

Since 1968, when the Delaware General Assembly appropriated \$100,000 for first-year operations, DSHA's assets have grown to more than \$500 million. The greatest period of growth has occurred since 1975, when the Authority first began issuing tax-exempt revenue bonds.

DSHA has the power to make loans and grants to both for-profit and non-profit housing sponsors; to make loans to mortgage lenders and require that they use the proceeds to make new residential mortgage loans; to apply for and receive subsidies from the federal government and other sources; and to issue its own bonds and notes.

In addition to its role as the State's Housing Finance Agency, DSHA is unique in that it also serves as a Public Housing Authority and acts as a Community Development and Planning Agency. As a Public Housing Authority, DSHA receives funding from HUD to build, own and operate public housing in Kent and Sussex counties, two of Delaware's three counties.

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A. INTRODUCTION

It is the duty of the Delaware Public Archives (DPA) to administer, implement and enforce all provisions of the Delaware Public Records Law. In order to fulfill its obligation to the citizens of this state, the DPA is fully committed to providing assistance, expertise, and guidance to agencies to ensure that their records are properly managed and disposed of using collaboratively developed and legally binding guidelines. These procedures are outlined in the Retention Schedule Instructions.

Contained within this document are the approved Retention Schedules that list the records commonly used by the Delaware State Housing Authority.

This schedule is used in conjunction with the general state records retention schedules. If a record series is not located on one of the retention schedules within this document or on an agency specific retention schedule, please contact the Information Resource Specialist (Analyst) that is assigned as the liaison to your agency.

The listed retention periods are the minimums necessary under normal conditions. However, they do not override federal or state law, litigation requirements or good judgment. Records may need to be retained beyond the recommended retention periods due to audits, litigation, or changes in legal statute (see Audit/Legal/Statutory Requirements). Records required beyond the recommended retention periods must be retained until cleared by the appropriate authority. As a reminder, Delaware Public Records Law requires the consent of the State Archivist prior to the disposal of any state agency records (Title 29 Delaware Code, §504).

The DPA has assigned an Information Resources Specialist (Analyst) to each state agency (see Agency Assignments). The agency Analyst is a valuable asset that should be consulted frequently regarding policies and procedures or to provide technical advice to the agency's management team, records officers or authorized agents. Furthermore, the DPA recommends that agencies survey their record collections on an annual or semi-annual basis in order to identify records that may be moved to off-site storage, destroyed, or imaged in compliance with the General Records Retention Schedule and Agency Specific Retention Schedules. By following the retention instructions as set forth by retention schedule, an agency may achieve significant savings in space and labor, ensure the preservation and security of valuable documents, and protect against liability for improper handling of official records.

C. SCHEDULE FORMAT

Below is an explanation of the format of the Records Retention Schedule:

Series #	Series Numbers are alphanumeric designations assigned by an Information Resource Specialist (DPA Analyst) to identify the agency's records (Record Series).
Series Title and Description	The Series Title is the title most commonly used by an agency to identify records or items based on their filing arrangement or how they are maintained as a unit. The Description identifies typical documents found within the record; it explains their function, purpose and possible relationships to other records and organizations.
Confidential / Vital	Confidential: Confidential records are records that are not open to the public in order to protect the privacy rights of individuals or the security arrangements of locations, persons, places and items as defined by law. Federal and State statutes and regulations determine a record's confidentiality status. Restrictions to public inspection of confidential records may apply to the entire record or to discrete portions of information enclosed in the record. It is the agency's responsibility to identify records containing confidential information. Confidential records should always be handled to ensure the security of the information within. Vital: Vital Records are those records that are required to ensure that an agency is able to function during an emergency, disaster, and recovery operations. Furthermore, they are records that are crucial to protecting the legal and financial rights and interests of an agency and of the individuals directly affected by its activities. The agency is responsible for identifying which of their records are vital. The primary protection method for vital records is through duplication and dispersal. These records should be identified in record backup plans, contingency plans, migration strategies (eRecords), to ensure measures are in place to safeguard these records. (e.g. COOP)
Retention and Instructions	Specific instructions directing the minimum retention period and disposition actions for each record series. Instructions indicate length of time that the record should be retained by the agency, the location of the records, and the events or time-period that must occur before disposition of the record series can be effected. Retention periods must abide by the minimum of time determined by state and federal statute; however, records may be retained longer as warranted by best business practices. Exceptions to the retention instructions are noted.
Date Approved/ Revised	Date that the record series was added or revised
Agency Notes	Notes regarding the development of a retention schedule that include Statute requirements and other references to assist the agency records officers and management teams in future development or modification of the schedule
Retention Schedule Modification History	Provides a brief history of the record retention schedule, including the development and modification may occur to the record series.

C. INDEX TO RECORD SERIES

ADMINISTRATION

Administration - Mortgage Loan Accounting (MLA) Reports	DSHA-001
Administration - Bond Administration Documents and Reports	DSHA-002
Administration - Accounting Documents and Reports	DSHA-003
Administration - Payroll Reports	DSHA-004
Administration - General Correspondence and Chronological Files	DSHA-005
Administration - Second Mortgage Assistance Loan (SMAL) And Borrower's Files	DSHA-006
Administration - General Ledger Reports	DSHA-007
Administration - Multi-Family Mortgage Loan	DSHA-008
Administration - Bond Issue Binders	DSHA-009
Administration - Debt Service Schedules	DSHA-010
Development - Community Development and Files Neighborhood Stabilization Program	DSHA-011
Development - Housing Code Enforcement Files	DSHA-012
Development - Development Files	DSHA-013
Management - Public Housing Management Files	DSHA-014
Development - Section 8 New Construction and Contract Admin Files	DSHA-015
Finance - Housing Finance Records	DSHA-016
Finance - Borrower's Files	DSHA-017
Management - Section 8 Voucher SRAP And Family Unification Program Files	DSHA-018
Planning - Planning Files	DSHA-019
Development - Emergency Shelter Grant Program Files	DSHA-020
Development - Housing Opportunities for Persons with Aids Files	DSHA-021
Administration - Contracts, Agreements, Leases	DSHA-022
Administration - Bid, RFP, RFQ Specifications, Quotations, Requisitions	DSHA-023
Administration - Grant Files	DSHA-024
Administration - State Budget	DSHA-025
Administration - Audit Reports	DSHA-026
Director - Policies, Procedures, General Orders	DSHA-027
Community Relations - Annual Reports, Other Publications Housing Services Directory	DSHA-028
All - DSHA Legal Counsel Opinions	DSHA-029
Administration - Sign in Logs	DSHA-030
Administration - Titles, Deeds	DSHA-031

Development - Surveys, Drawings, Plans	DSHA-032
Administration - Development Warranty Files	DSHA-033
Administration - Records Retention Schedule	DSHA-034
Community Relations - Photographs, Video and Audio Recordings	DSHA-035
Administration - Disaster Planning and Recovery Files	DSHA-036
Administration - Electronic Records	DSHA-037
Minutes of Council on Housing Meetings And Proceedings	DSHA-038
Administration - Insurance Policy Records	DSHA-039
Planning - Housing Counseling Grants	DSHA-040
Personnel Section – Administration Application for Employment	DSHAP-001
Administration - Job Announcements	DSHAP-002
Administration - Recruitment Listing	DSHAP-003
Administration - Listing of Authorized Positions	DSHAP-004
Administration - Personnel Record, Departmental	DSHAP-005
Administration - Grievances	DSHAP-006
Administration - Class History Folders	DSHAP-007
Administration - Position History Files	DSHAP-008
Administration - Personnel Action Requests (PAL-1)	DSHAP-009
Administration - Attendance Sheets, Time Entry	DSHAP-010
Administration - Affirmative Action Correspondence	DSHAP-011
Administration - Collective Bargaining Records	DSHAP-012
Administration - Employee Identification Cards/Badges	DSHAP-013
Administration - Worker's Compensation Files	DSHAP-014
Administration - First Report of Occupational Injury	DSHAP-015

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SERIES #	SERIES TITLE AND DESCRIPTION	<u>C</u> ONF/ <u>V</u> ITAL/ <u>I</u> MPORTANT <u>U</u> SEFUL/ <u>N</u> ONESSENTIAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISIED
DSHA-009	ADMINISTRATION - BOND ISSUE BINDERS Record of bond issue: Includes general and series resolutions, offering statements, mortgage loan purchasing and servicing agreements, investment agreements, trustee's appointments, underwriter, legal counsel and auditor's letters, trustee distribution certificate, bond coupon specimen, bond purchase agreements and related documentation specific to individual bond issue.	Confidential and Important	Retain one copy of original binders at agency permanently.	
DSHA-010	ADMINISTRATION - DEBT SERVICE SCHEDULES Record of debt payment calculations for bond issues	Confidential and Important	Retain original documents at agency permanently.	
DSHA-011	DEVELOPMENT - COMMUNITY DEVELOPMENT AND FILES NEIGHBORHOOD STABILIZATION PROGRAM Documentation of Community Development Block Grant and NSP Programs A. Policy and Procedures (HUD) B. Individual Contracts C. Reports and Correspondence	Confidential Useful Important Important	Retain at agency until HUD closeout plus 3 years; destroy.	7/17/2014
DSHA-012	DEVELOPMENT - HOUSING CODE ENFORCEMENT FILES		FILES NO LONGER CREATED	

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DSHA-013	DEVELOPMENT - DEVELOPMENT FILES			
	A. HOUSING DEVELOPMENT FUND, HOME, STATEWIDE EMERGENCY REPAIR PROGRAM (SERP), OWNER OCCUPIED REHAB, HOME4GOOD, STRONG NEIGHBORHOODS HOUSING FUND (SNHF), DOWNTOWN DEVELOPMENT DISTRICTS (DDD), HOUSING TRUST FUND (HTF) AND MULTI-FAMILY MORTGAGES. Loan closing documentation and records of direct loan projects Official Contracts Financial Papers Correspondence and agreements between DSHA and program sponsors relating to financing of projects.	Confidential and Vital	A. Retain at agency for the life of the mortgage plus 5 years; successful audit; destroy.	10/23/2020
	B. PUBLIC HOUSING CONTRACT FILES Agreements and correspondence between HUD and DSHA for Public Housing Programs	Confidential and Vital	B. Retain original documents at agency permanently.	7/17/2014
	C. SECTION 8 NEW CONSTRUCTION Agreements and related correspondence between HUD and DSHA for Section 8 New Construction Projects	Confidential and Vital	C. Retain at agency for life of mortgage; successful audit; destroy.	7/17/2014
	D. FEDERAL PROGRAMS (HOUSING TRUST FUND, SECTION 811, HOME, ETC.) All activities except under A above.	Confidential and Important	D. Retain at agency for 3 years after project completion; destroy.	7/17/2014 10/23/2020
	E. HDF GRANTS	Confidential and Important	E. Successful Audit plus 3 years	7/17/2014
	F. LOW INCOME HOUSING TAX CREDIT PROGRAM SUCCESSFUL APPLICATIONS	Confidential and Vital	F. Retain at agency for the life of the mortgage plus 7 years, or 21 year compliance period, whichever is later; successful audit; destroy.	7/17/2014 10/23/2020
G. NEIGHBORHOOD ASSISTANCE ACT PROGRAM	Confidential and Important	G. Audit plus 3 years	10/23/2020	

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DSHA-014	<p>MANAGEMENT - PUBLIC HOUSING MANAGEMENT FILES</p> <p>A. Consists of tenant files, applicant files rejected, applicant files deleted, general correspondence, maintenance files, PHMAP files and utility allowance files.</p> <p>B. Criminal history reports of accepted applicants. (Information copy used only for applicant screening purposes)</p> <p>C. Criminal history reports of rejected applicants. (Information copy used only for applicant screening purposes)</p> <p>D. Public Housing & Resident Homeownership Programs</p> <p>E. Capital Fund Program</p>	<p style="text-align: center;">Confidential and Vital</p> <p style="text-align: center;">Confidential and Useful</p> <p style="text-align: center;">Confidential and Useful</p> <p style="text-align: center;">Confidential and Vital</p> <p style="text-align: center;">Confidential and Vital</p>	<p>A. Scan/Retain at agency electronically; successful audit; delete after 3 years after move-out/termination</p> <p>B. 1. In-State information. Scan/Retain at agency electronically for 5 years or until the final disposition of any legal action, and/or after move-out/termination; whichever is later; destroy. 29 C.F.R. § 1602.31 2. Out-of-State Information. Scan/Retain at agency electronically for 5 years or until the final disposition of any legal action, and/or after move-out/termination; whichever is later; destroy. Out-Of-State Information must be shredded onsite and conducted or witnessed by authorized personnel.</p> <p>C. 1. In-State information. Scan/Retain at agency electronically for 5 years or until the final disposition of any legal action, and/or after move-out/termination; whichever is later; destroy. 29 C.F.R. § 1602.31 1 Del. Admin. C. § 1301-7.0 2. Out-of-State Information. Scan/Retain at agency electronically for 5 years or until the final disposition of any legal action, and/or after move-out/termination; whichever is later; destroy. Out-Of-State Information must be shredded onsite and conducted or witnessed by authorized personnel. 11 Del. C. § 8605 1 Del. Admin. C. § 1301-7.0 29 C.F.R. § 1602.31</p> <p>D Scan/Retain at agency electronically; successful audit; delete after 3 years after move-out/termination</p> <p>E. HUD closeout plus 5 years</p>	3/26/2018

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DSHA-014 (cont.)	F. Rental assistance Demonstration (RAD)/LIHTC	Confidential and Vital	G. PBV Files - Scan/Retain at agency electronically; successful audit delete 3 years after move- out/termination LIHTC Files – Records from the first year of participation in the LIHTC Program must be maintained for 21 years from the date the tax return claiming these credits was filed including all extensions, and subsequent years' records must be maintained for 6 years from the date the tax return claiming the applicable credits was filed including all extensions. [Section 1.42-5(b)(vii)(2)][2]	3/26/2018 10/23/2020
DSHA-015	<p>DEVELOPMENT - SECTION 8 NEW CONSTRUCTION AND CONTRACT ADMIN FILES</p> <p>A. Correspondence Not related to a specific project: Includes routine requests for information, complaints and other routine program matters not otherwise provided for in this schedule</p> <p>B. General Management File Includes project and subject files of correspondence and documents relating to management reviews, management agreements, audits and reports, status reports of management operations, trip reports and management checklists</p> <p>C. Occupancy File Includes occupancy audit reports, tenant applications, re-certifications, documents relating to eligibility, admissions, initial occupancy and tenant characteristics and correspondence and other documents related to occupancy</p>	<p>Confidential and Nonessential</p> <p>Confidential and Vital</p> <p>Confidential and Vital</p>	<p>A. Retain original documents at agency 1 year; break file at end of fiscal year; destroy at end of subsequent fiscal year.</p> <p>B. Retain at agency 6 years; successful audit; destroy.</p> <p>C Retain at agency 3 years; successful audit; destroy.</p>	7/17/2014

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DSHA-016	FINANCE - HOUSING FINANCE RECORDS			
	A. Documentation of Residential Mortgage Revenue Bond Program <ul style="list-style-type: none"> • Revenue Bond Program • Progress Reports • Bond Issue Correspondence • Financial Analysis • Cash Flow • Allocation Requested • Closing Documentation • Proposals • Program Reports • Deduction Letters of Credit • Purchase Vouchers • Purchase Invoices • Commitments • Mortgage Loan Service • Mortgage Purchase Agreement • Reconciliation Summaries • Investments • Transfers • Disbursements • Cost of Insurance • Bond Inter-Fund Transfer • Officers Certificates 	Confidential and Useful	Retain at Wilmington office 5 years and successful audit; destroy.	
	B. Housing Rehab Program, N.E. Initiative, Neighborhood Revitalization Fund, Applications, Loan Documents, general correspondence	Confidential and Vital	Retain for length of rehab loan plus 7 years; successful audit; destroy.	8/1/2011 7/17/2014
C. Wilmington Sr. Tax Assistance Program <ul style="list-style-type: none"> • IRS Reports • General Program Records 	Confidential and Vital Confidential and Vital	Audit plus 3 years <ul style="list-style-type: none"> • Retain at agency 6 years; successful audit; destroy. • Retain at agency 3 years; successful audit; destroy. 	8/1/2011 7/17/2014	

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DSHA-017	<p>FINANCE - BORROWER'S FILES</p> <p>Contains necessary documents to obtain a low interest rate mortgage through the Single Family Mortgage program, including SMAL & DHP, DEMAP, DTCHI, Delaware First Time Home Buyer Tax Credit</p> <ul style="list-style-type: none"> • Copies of Mortgage • Assignment • Title Policy • Borrower's Affidavit • Seller's Affidavit • Note • Application • Appraisal • Verification of Pool Insurance • Sales Contract • SMAL Borrower's Information • Lenders Affidavit • Closing Affidavit • Mortgage Credit Certificate 	Confidential and Vital	<p>Once mortgages are satisfied, letter and satisfaction piece is scanned in office to the borrower's files, borrower's files are then sent to DSHA's storage center of choice to be maintained for thirty (30) years (life of the bond issue), plus an additional seven (7) years</p> <p>NOTE: Scan original, certified, commitment and other pertinent docs as soon as practical; send original docs for Series 1 thru 24 to Wilmington Trust Co. (WTC) for storage / maintenance; Series 25 and above are to be retained and stored in DSHA storage center of choice; import scanned docs from disk to scanning system; retain one (1) copy of disk in DSHA Housing Finance office & one (1) back-up copy of disk at DSHA storage center of choice; doc index will not be removed from scanning system; retrieve original docs from WTC or DSHA storage center (whichever is applicable) for satisfaction & foreclosure of mortgage, foreclosure of mortgage documents are to be retained at DSHA Housing Finance office; Boxes are numbered sequentially-those meeting their total retention requirement are destroyed July 1 each fiscal year</p>	7/17/2014

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DSHA-018	<p>MANAGEMENT - SECTION 8 VOUCHER SRAP AND FAMILY UNIFICATION PROGRAM FILES</p> <p>A. Documents and correspondence relating to Section 8 Rental Assistance Program</p> <p>B. Annual Contributions Contracts between DSHA and HUD</p> <p>C. Move-out Files Includes applications, re-certifications and documents relating to eligibility and admission</p> <p>D. General Management Files Includes subject files and correspondence relating to management and operations matters</p> <p>E. State Rental Assistance</p>	<p>Confidential and Important</p> <p>Confidential and Vital</p> <p>Confidential and Useful</p> <p>Confidential and Important</p> <p>Confidential</p>	<p>A. Retain at agency until contract expiration plus 6 years; destroy.</p> <p>B. Retain at agency for duration of HAP contract plus 6 years; destroy.</p> <p>C. Retain at agency 3 years; successful audit; destroy.</p> <p>D. Retain at agency 6 years; destroy.</p> <p>E. Audit plus 3 years</p>	
DSHA-019	<p>PLANNING - PLANNING FILES</p> <p>Documentation of Housing Studies and Plan</p> <p>A. Consolidated Plan, Annual Action Plans, and Consolidated Annual Performance Evaluation Reports (CAPERS)</p> <p>B. Housing Needs Assessment</p> <p>C. Analysis of Impediments to Fair Hearings</p> <p>D. Other DSHA- produced housing studies or research (Market Value Analysis, other)</p> <p>E. DDD Annual Reports</p> <p>F. Disaster Housing Recovery Plans</p>	<p>Confidential</p> <p>Important</p> <p>Useful</p> <p>Important</p> <p>Useful</p> <p>Useful</p> <p>Useful</p>	<p>Retain at agency permanently.</p> <p>NOTE: Transfer two (2) copies to Delaware Public Archives for permanent preservation. 29 Del C § 519</p>	<p>7/17/2014 3/26/2018 10/23/2020</p>
DSHA-020	<p>DEVELOPMENT - EMERGENCY SOLUTIONS GRANTS PROGRAM FILES</p> <p>Documentation of Emergency Solutions Grants Program</p> <p>A. Policy and procedures (HUD)</p> <p>B. Individual contracts</p> <p>C. Reports and correspondence</p>	<p>Confidential</p> <p>Useful</p> <p>Important</p> <p>Important</p>	<p>Retain at agency until HUD closeout plus 3 years; destroy.</p>	<p>7/17/2014 10/23/2020</p>

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DSHA-021	DEVELOPMENT - HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS FILES Documentation of the Housing Opportunities for Persons with AIDS Program A. Policy and procedures (HUD) B. Individual contracts C. Reports and correspondence	Confidential Useful Important Important	Retain at agency until HUD closeout plus 3 years; destroy.	7/17/2014
DSHA-022	ADMINISTRATION - CONTRACTS, AGREEMENTS, LEASES	Confidential and Vital	Retain at agency until termination; successful audit, destroy.	
DSHA-023	ADMINISTRATION - BID, RFP, RFQ SPECIFICATIONS, QUOTATIONS, REQUISITIONS	Confidential and Important	Retain at agency until successful audit; destroy.	
DSHA-024	ADMINISTRATION - GRANT FILES Financial records, supporting documents, statistical records and all other records pertinent to an award	Confidential and Vital	Retain at agency 3 years; successful audit; destroy.	
DSHA-025	ADMINISTRATION - STATE BUDGET	Confidential and Important	Retain original documents at agency until successful audit and no longer needed; destroy.	
DSHA-026	ADMINISTRATION - AUDIT REPORTS	Confidential and Useful	Retain at agency until successful audit and no longer needed; destroy.	
DSHA-027	DIRECTOR - POLICIES, PROCEDURES, GENERAL ORDERS	Confidential and Vital	Retain at agency permanently.	
DSHA-028	PUBLIC RELATIONS - ANNUAL REPORTS, OTHER PUBLICATIONS HOUSING SERVICES DIRECTORY	Confidential and Important Useful	Retain at agency permanently. NOTE: Two copies of all DSHA Annual Reports and Other Publications are to be submitted in human readable format to Delaware Public Archives for permanent preservation. 29 Del C § 519	7/17/2014 3/6/2018
DSHA-029	ALL - DSHA LEGAL COUNSEL OPINIONS	Confidential and Useful	Retain at agency until no longer pertinent; destroy.	

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DSHA-030	ALL - SIGN IN LOGS	Nonessential	Retain at agency three years; destroy.	10/23/2020
DSHA-031	ADMINISTRATION - TITLES, DEEDS	Confidential and Vital	Retain original documents at agency permanently.	
DSHA-032	DEVELOPMENT - SURVEYS, DRAWINGS, PLANS	Confidential and Vital	Retain at Agency for two (2) years. After Permanent Closing, scan & destroy.	7/17/2014
DSHA-033	ADMINISTRATION - DEVELOPMENT WARRANTY FILES	Confidential and Important	Retain original documents at agency until warranty expiration or disposition of equipment, whichever comes first; destroy.	
DSHA-034	ADMINISTRATION - RECORDS RETENTION SCHEDULE A. Schedules B. List of records transfers for storage and destruction.	Confidential and Important	Replace schedule and lists as updated; and retain record copy permanently.	
DSHA-035	PUBLIC RELATIONS - PHOTOGRAPHS, VIDEO AND AUDIO RECORDINGS A. Documenting significant agency events, missions and programs B. All others	Confidential and Useful	A. Retain at agency permanently. B. Retain at Agency until no longer needed; destroy.	3/1/2013 10/23/2020
DSHA-036	ADMINISTRATION - DISASTER PLANNING AND RECOVERY FILES	Confidential and Important	Replace as updated.	

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DSHA-037	<p>ADMINISTRATION - ELECTRONIC RECORDS</p> <p>A. System files for network servers. To include semi-annual and end of year back-up files.</p> <p>B. E-mail files. Transitory Retention specific files</p> <p>C. DSHA records maintained in electronic forms (scanned documents) which duplicate the information in and taking the place of records that would otherwise be maintained in hard copy; may serve as the record copy once confirmed that it accurately reflects information set forth in the original record.</p>	<p style="text-align: center;">Confidential and Vital</p> <p style="text-align: center;">Useful</p> <p style="text-align: center;">Vital</p>	<p>A. Maintain back-up files, tapes for retention period; destroy.</p> <p>B. Keep 30 days and delete automatically. Delete after record copy is printed.</p> <p>C. Retain original hard copy until accuracy of electronic copy verified. Destroy original hard copy. Delete electronic copy after the expiration of the record series retention period as authorized by agency records retention schedule.</p> <p>NOTE: If electronic version replaces hard copy records with different retention periods, and agency software does not readily permit selecting deletion, delete after the longest retention period has expired.</p>	<p style="text-align: center;">11/15/2010 8/1/2011</p>

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DSHA-038	<p>MINUTES OF COUNCIL ON HOUSING MEETINGS AND PROCEEDINGS</p> <p>A. Original official transcripts or records of council meetings and proceedings.</p> <p>B. Agendas and other supporting documentation</p> <p>C. Verbatim recordings of Council on Housing meetings and proceedings (stenographic, audio, and video)</p>	<p style="text-align: center;">Confidential and Vital</p> <p style="text-align: center;">Confidential and Vital</p> <p style="text-align: center;">Confidential and Vital</p>	<p>A. Retain originals at agency 2 years; successful audit; transfer to Archives for permanent preservation. Retain duplicate copies at agency 10 years or until Sunset Committee Review; destroy.</p> <p>B. Retain originals at agency 2 years; successful audit; transfer to Archives for permanent preservation. Retain duplicate copies at agency 10 years or until Sunset Committee Review; destroy.</p> <p>C. Retain at Agency until transcribed and approved officially; destroy.</p> <p>NOTE: If recordings are not transcribed, they must be retained per the retention instructions of DSHA - 038 A & B.</p> <p>NOTE: Minutes that are by statute, regulation, or court ruling confidential or restricted must be placed in separate containers and identified as such on the Transfer Document (Form RM3) when transferred to the Archives</p>	<p style="text-align: center;">10/7/2009</p>

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DSHA-039	<p>ADMINISTRATION - INSURANCE POLICY RECORDS TO INCLUDE:</p> <p>Original contract or policy forms; declaration pages; endorsements; riders; notices; application or enrollment forms for:</p> <ul style="list-style-type: none"> • Building and Personal Property • Commercial General liability • Umbrella Liability • Commercial Automobile • Data Processing • Directors and Officers Liability • Crime and Employee Dishonesty • Workers Compensation • Flood Insurance • Boiler and Machinery 	Confidential and Vital	Retain at Agency for three years from the date the policy is no longer in force; or until after conclusion of an investigation of a claim subject to review; whichever is longer; destroy.	10/7/2009
DSHA-040	HOUSING FINANCE - HOUSING COUNSELING GRANTS	Confidential and Important	Retain at agency 3 years after closeout; successful audit; destroy.	7/17/2014 3/26/2018
DSHAP-001	<p>PERSONNEL SECTION – ADMINISTRATION APPLICATION FOR EMPLOYMENT</p> <p>Applications for employment; may also include DD214s, interview note, letter of commendation or recommendations, resumes, selection criteria, tests and rankings and transcripts.</p>	Confidential and Important	<p>Retain at agency 3 years or through final disposition of charges of discrimination or legal action; destroy.</p> <p>NOTE: Applications of persons hired by the agency should be retained in the Departmental Personnel Record (DSHAP-005)</p>	7/9/2018
DSHAP-002	<p>ADMINISTRATION - JOB ANNOUNCEMENTS</p> <p>Includes notices of existing or anticipated job openings within an agency reflecting a description of the position, qualifications, salary, job location and opening and closing dates</p>	Confidential and Important	Retain at agency 3 year or through final disposition of charges of discrimination or legal actions; destroy	7/9/2018
DSHAP-003	<p>ADMINISTRATION - RECRUITMENT LISTING</p> <p>Certification of listing of applicants recruited for DSHA job postings</p>	Confidential and Important	Retain at agency 3 year or through final disposition of charges of discrimination or legal actions; destroy	7/9/2018

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DSHAP-004	ADMINISTRATION - LISTING OF AUTHORIZED POSITIONS	Confidential and Useful	Replace as updated.	
DSHAP-005	<p>ADMINISTRATION - PERSONNEL RECORD, DEPARTMENTAL</p> <p>Master personnel record for employee established and maintained by the appointing agency.</p> <p>A. Successful Applicants, Promotions, Transfers, Separation and Personnel Transaction. Applications of persons hired and documentation regarding personnel actions taken by agency</p> <p>B. Attendance and Leave Records (Cumulative) Documents recording employee's attendance and leave for an annual period; amount of leave earned and used; total leave accumulated, related information</p> <p>C. Recommendations, Commendations Letters of appreciation/commendation on employee's performance</p> <p>D. Discipline Formal written notification of disciplinary action</p> <p>E. Employee Performance Plan/Review (PP/R)</p> <p>F. Benefits Signed benefits (health, life insurance, blood bank, credit union, savings bonds, etc.) agreed to or waived by employee.</p>	<p>Confidential and Vital</p>	<p>Retain at agency for 50 years; destroy</p> <p>A. Retain in Departmental Personnel Record</p> <p>B. Retain in personnel record</p> <p>C. Retain at agency employment is terminated; return to employee</p> <p>D. Retain in personnel record 2 years after last of any subsequent offense; destroy</p> <p>E. Retain in personnel record 5 years; destroy or return to employee</p> <p>F. Replace as updated. Retain latest elections in personnel record</p>	7/9/2018

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DSHAP-006	ADMINISTRATION – GRIEVANCES/EEO COMPLAINTS/CLAIMS Contains supporting documentation, investigative notes, findings and determinations by responding supervisors, any documents, recordings or other information presented by any party involved in the investigation and/or resolution of the grievance, complaint or clam	Confidential and Vital	Retain originals at agency 10 years after close of case and expiration of appeal period. NOTE: Grievances should not be maintained in Personnel Record, but placed in a separate file	7/9/2018
DSHAP-007	ADMINISTRATION - CLASS and HISTORY RECORDS Includes supporting documentation regarding classifying or reclassifying position: titles; pay grades, job descriptions, applications and supportive documents	Confidential and Vital	Retain originals at agency permanently.	7/9/2018
DSHAP-008	ADMINISTRATION - POSITION HISTORY FILES Contains position classification questionnaire, interview records, analyst notes, initial/final recommendations, agency comments and background documentation	Confidential and Vital	Retain originals at agency permanently	7/9/2018
DSHAP-009	ADMINISTRATION - PERSONNEL ACTION REQUESTS (PAL-1)		Combined within DSHAP-007	7/9/2018
DSHAP-010	ADMINISTRATION - ATTENDANCE SHEETS, TIME ENTRY Daily record of employee hours worked during a specific period.	Confidential and Vital	Retain at agency 3 years; successful audit; destroy.	7/9/2018
DSHAP-011	ADMINISTRATION - AFFIRMATIVE ACTION CORRESPONDENCE Includes facility accessibility records, statistical data, plans and reposts (EEO-1/EEO-4) required by federal statue.	Confidential and Vital	Retain at agency 5 fiscal years; destroy	7/9/2018

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DSHAP-012	ADMINISTRATION - COLLECTIVE BARGAINING RECORDS Includes contracts, correspondence and miscellaneous information regarding the bargaining contracts	Confidential and Vital	Retain at agency 10 years; successful audit; destroy.	7/9/2018
DSHAP-013	ADMINISTRATION - EMPLOYEE IDENTIFICATION CARDS/BADGES Proof of employment with specific agency, including ID's, cards or other issued items.	Confidential and Important	Retrieve from employee upon termination of employment; return to IT	7/9/2018
DSHAP-014	ADMINISTRATION - WORKER'S COMPENSATION FILES Documents incidents where employees are injured on the job or in the line of duty. Includes First Report of Occupational Injury or Illness and other personal injury reports, vehicle accident reports, invoices, doctor and medical bills, police reports and related correspondence.	Confidential and Vital	Merger medical in information with Employee Medical Record (DSHAP- Retain non-medical records and information for 6 years; destroy	7/9/2018
DSHAP-015	ADMINISTRATION - FIRST REPORT OF OCCUPATIONAL INJURY	Confidential and Vital	Combined within DSHAP-014	7/9/2018
DSHAP-016	ADMINISTRATION-BACKGROUND SCREENING HISTORY FILES Includes records that document identifiable descriptions and notations of arrest, detentions, indictments, information or other formal criminal charges, and any disposition arising therefrom, sentencing, correctional supervision and release	Confidential and Vital	Retain at agency 5 or until final disposition of any legal action; whichever is later; destroy	7/9/2018

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DSHAP-017	<p>ADMINISTRATION-EMPLOYMENT ELIGIBILITY VERIFICATION FORMS (1-9)</p> <p>Employment Eligibility Verification Forms(I-9) as well as copies of passports, valid driver's licenses, birth certificates, etc. that verify the identity and employment authorization of individuals hired for employment in the United States, as required by the United States Citizenship and Immigration Services</p>	Confidential and Important	Retain at agency 3 years after date of hire or 1 year after termination of employment, whichever is later; destroy	7/9/2018
DSHAP-018	<p>ADMINISTRATION-EMPLOYEE MEDICAL RECORD</p> <p>Provides documentation of an employee's illness, injuries, prognosis and treatment that are used to determine eligibility for ADA requests for accommodation, disability (long term and short term), FMLA, sick leave, donated leave, return to work, worker's compensation benefits, etc.</p>	Confidential and Vital	Retain at agency 50 years; destroy	7/9/2018

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Agency Notes:

Delaware State Housing Authority was located under 1306 Delaware Development Office/Delaware State Housing Authority until 9/15/1997

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1. Delaware Codes
 - a. [29 Del C § 5](#) Public Records Law
 - b. [29 Del C § 100](#). Freedom of Information Act (FOIA)
 - c. [6 Del C § 12A](#). Uniform Electronic Transaction Act
 - d. [29 Del C § 86](#) Delaware State Housing Authority
 - e. [31 Del C § 40](#) Delaware State Housing Authority
 - f. [11 Del C § 8605](#) Delaware Criminal Justice Information System
2. Delaware Administrative Code
 - a. [1 Del Admin C § 1301-7.0](#)
3. United States Code/Code of Federal Regulation
 - a. [24 CFR](#) Housing and Urban Development
 - b. [29 CFR § 1602.31](#) Preservation of Records made or kept
4. The destruction of paper and electronic records requires an authorized Destruction Notice from the Delaware Public Archives (DPA)
5. For electronic records or electronic systems consisting of multiple record series with differing retention periods, the records should be retained until the longest retention period has been met, unless the software permits selective deletion.
6. Vital Records or Contingency Back-up Records (paper and electronic) are those records essential to the continued functioning or reconstitution of an organization before, after, and during an emergency or disaster and those that are needed to protect the legal and financial rights of the government and those affected by government activities. These records should be duplicated and dispersed to sites that are located a sufficient distance to avoid being subject to the same emergency ([36 CFR 1223.22](#).)

Notes: Retention Schedule Modification History

Series	Title and Explanation and action taken	Retention	Date of change
	Recent changes to the schedule have been approved by a General Order and signed by the Director of the agency		7/14/2017
	Recent changes to the schedule have been approved by a General Order #650 and signed by the Director of the agency		3/26/2018
	Recent changes to the Administration-Personal Records by General Order #654 and signed by the Director of the agency		7/9/2018
	These changes include the combination of series and creating 3 new series.		
	Recent changes to the schedule have been approved by Genreal Order #668 and signed by the Director of the agency		10/23/2020

E. BENEFITS OF RECORDS MANAGEMENT

Centralized management of records is essential in government agencies. Effective records management programs enable agencies to:

- Identify and protect vital records
- Identify records with enduring value (archival records), that track the development of government policy
- Improve customer support
- Improve the performance of storage and retrieval systems through files management.
- Improve the accountability of public funds.
- Increase the efficiency and productivity of office operations through better accessibility and faster retrieval ability
- Reduce the costs associated to support record storage: equipment, supplies, office space, and personnel.
- Reduce information duplication and waste by standardizing processes within an agency so personnel know where and how information is stored and how it may be retrieved
- Reduce the legal liability risks by keeping records according to retention schedule
- Reduce the volume of records stored by destroying records that have reached the end of their retention and transferring permanent records to archives
- Apply available technologies to manage electronic records that can improve both information handling and public service delivery
- Reduce the amount of electronic records and thereby reducing the total costs of ownership associated with paying fees for backups, maintenance, migration, recovery and infrastructure support

Government records document the conduct of public business and are the "memory" of government. They contain information on the administration of public policies and programs, the decision-making process, development, and origin. Furthermore, government records provide a means for monitoring activities and programs, accountability, document, protect the rights of citizens, and define the obligations of governments.

F. HELPFUL HINTS FOR RECORDS MANAGEMENT

The Retention Schedule contains the listing of records series used by the Delaware State Housing Authority. As noted in the introduction, the instruction provided within this schedule reflects the minimum length of time a record series shall be retained by the agency, the DPA, or in certain cases by both. Records Officers and Authorized Agents should contact their DPA Information Resources Specialist regarding any questions concerning records created or maintained by their agency.

The following suggestions will be helpful when using this publication:

1. To be successful at records management, the General and Agency Specific Retention Schedules will become the most referenced document in your agency's program. Their purpose is to provide instruction on the how long to retain records and the statutory or business practice requirements.
2. Become familiar with the General Records Retention Schedule and the Agency Specific Records Retention Schedule. The General Records Retention Schedule is divided into sections according to the category of record, (e.g., accounting and financial, administrative, electronic, and personnel).
3. Review the State General Records Retention Schedule and locate all records used by your agency. If a record cannot be located within a record series in the General Records Retention Schedule or the agency's records retention schedule, contact the Information Resources Specialist so that the record may be analyzed and added to the agency's schedule.
4. Identify the records that have met their recommended retention period. Insure that all audit requirements have been met and litigation proceedings finalized prior to destruction (see Audit/Legal/Statutory Requirements).
5. Do not destroy any records until you receive a copy of the Destruction Notice that is signed by the State Archivist, authorizing the destruction. Agencies will receive an official notification of all approvals or denials.
6. List records eligible for destruction on a Destruction Notice. Record titles should be worded exactly the same as listed on the retention schedule. The Destruction Notice must be authorized/signed by the records officer, authorized agent or agency head. This authorization certifies that all the records listed, have met all state and federal audits requirements, all audit reports have been accepted, and all issues resolved. Furthermore, that no legal actions are pending to which the records may pertain. In addition, it certifies that all images generated from the records have been verified for completeness and accuracy. The Destruction Notice must be emailed to the DPA. For more information, please refer to the DPA publication: User's Guide for Destruction
7. Make a Content List (inventory) of all the records that are eligible for transfer to the State Records Center for storage, or the State Archives for permanent preservation. Review the records using the appropriate Retention Schedule and then complete a Content List (this is a Microsoft Excel Spreadsheet that is created by the Government Service section of DPA) and the Transfer Document. Email the Transfer Document (word document) and the Content List (Excel spreadsheet) to the agency's DPA analyst or the Analyst Team mailbox (AnalystTeam@state.us.de) to coordinate arrangements for the transfer of records. For more information, please refer to the following DPA publications for further information regarding the transfer of records: Preparation of Records for Transfer to DPA, User's Guide to Storage and Use of Archives Boxes, and User's Guide for Transfer.

8. Records that are eligible for document imaging must be prepared according to DPA procedures. Contact your DPA Analyst if you have questions regarding these procedures. For more information, please refer to the following DPA publications for further information regarding the transfer of records: User's Guide for Imaging Support Request Form.
9. Confidential records shall be destroyed in a manner that ensures no breach of confidentiality will occur. The DPA offers destruction services for confidential records, this service requires an approved Destruction Notice.
10. Examine any and all of your agency's storage areas. Older records are frequently discovered in attics, basements, closets, stairwells, sheds, vaults, warehouses, etc.

G. AUDITS AND STATUTORY REQUIREMENTS

Audit Considerations:

Records subject to successful audit must be retained for the periods listed in the General Records Retention Schedules or in any Agency Specific Retention Schedules. During that period, the records must be audited, and have all questioned expenditures, procedures, or other issues noted in the audit report, satisfactorily resolved and/or all recommendations for changes have been implemented and approved by all applicable federal and state agencies.

If state and federal funds are commingled on a project, then the longer retention applies. After all audit requirements have been met, those documents having a permanent retention status should be imaged or transferred per retention schedule instructions.

Agencies are responsible for knowing all audit requirements and other specific program regulations that apply to their records. This information should be obtained from the agency/grantor that is administering, funding, or licensing the program or grant. An all-encompassing retention description cannot be stated in every case. Refer to the terms of the state or federal grant.

Legal and Statutory Considerations:

Federal and state statutes and administrative regulations are subject to change. When this occurs, agencies may be required to retain certain records for a longer period than indicated in the retention schedules. In these cases, the administrative code, statutory, or regulatory requirement take precedence to the retention schedule instructions ([Title 29 Delaware Code, §524](#)). Additionally, agencies must contact their assigned DPA Information Resource Specialist to update their retention schedule so that it complies with the applicable legal statutes.

Records that are involved in any legal action must be retained until after exhaustion of all legal appeals, challenges and remedies, even if they have met the minimum retention requirements.

Confidential Records:

Records may be deemed confidential by statute or by the personal nature of the information contained therein. Records designated as confidential on the General Records Retention Schedule or agency retention schedule should be maintained and handled in a manner that will ensure that the confidentiality of the information is not breached. If a record's confidential information cannot be separated from information that is not confidential, the whole file or series should be maintained and handled as a confidential series. Not all record series can be identified on the General Records Retention Schedule as confidential. It is the agency's responsibility to determine the confidentiality of these records and maintenance thereof. Confidential records transferred to DPA for storage, document imaging or preservation must be identified.

H. NON-RECORD MATERIAL

Non-record materials are not “record” in character because they do not serve to document the function, policies, decisions, procedures, operations, finances or other activities of the organization.

When in doubt: When it is difficult to decide whether files are record or non-record materials, you should treat them as records. You should consult with DPA to determine the record or non-record status of a particular file.

Non-record materials may include:

- Blank forms
- Duplicate Copies: duplicates of any documents or publications kept solely for convenience and ease of reference
- Business Catalogs, trade journals, and other similar publications or papers that are not created by the agency, require no action, and are not part of a record series upon which action is taken
- Government Publications (External) or processed materials that are received from another activity or office that require no action and are not required to support any other documentation (the originating office is required to maintain record copies)
- Government Publications (Internal) or processed material inventories for which an official copy has been already been retained by the agency for record purposes (See Delaware Documentation)
- Sample letters and Templates (samples/templates of letters used by the agency that contain no real information)

Shredding (crosscut) is the approved method of destruction for records containing confidential or sensitive information (e.g. names, addresses, DOB, financial data, SSN, etc.). Once records are shredded, they may be recycled.

It is highly recommended that non-records materials be maintained separate from the official records to avoid confusion. An agency’s records management program should include a process that regularly scrutinized records to remove non-record materials.

I. GLOSSARY OF RECORDS MANAGEMENT TERMS

ACCESS

The archival term for authority to obtain information from or to perform research in archival materials

ACCESSION

(v.) To transfer physical and legal custody of documentary materials to an archival institution

(n.) Materials transferred to an archival institution in a single accessioning action

ACTIVE RECORD

A record needed to perform current operations; It is frequently used and usually retained at the agency.

ADMINISTRATIVE VALUE

The usefulness of a record to the originating group in the conduct of its business or daily operations

AGENCY

An office, department, board, commission, or other separate unit of county, state or municipal government, regardless of branch (executive, legislative, or judicial)

APPRAISAL

The process of determining the value and disposition of records based on their current administrative, evidential, fiscal, informational, and legal value; their arrangement; and their relationship to other records. This appraisal is conducted jointly by the agency and a DPA analyst using the [Record Series Inventory Form](#)

ARCHIVAL VALUE

The enduring worth of documentary materials for continued preservation in an archival repository. May also be referred to as historical, continuing, or enduring value.

ARCHIVES

1. The records created or received and accumulated by a person or organization in the course of the conduct of affairs, and preserved because of their historical or continuing value

2. The agency responsible for selecting, preserving, and making available records determined to have permanent or continuing value.

3. The building in which an archival repository is located. See also DELAWARE PUBLIC ARCHIVES.

AUDITS

Audits examine the management and financial operations of an agency. Audits measure the economy and efficiency with which agency operations are managed; how program results are achieved; and program effectiveness. They also verify compliance with laws, regulations, and internal policies in carrying out programs. Audits may also recommend improvements in the management and conduct of state and local government programs and activities. It is the agency's responsibility to identify records requiring audits and maintain awareness of the audit status. Agencies may contact the State Auditor of Accounts office for the status of state audits.

COMPUTER OUTPUT MICROFILM (COM) See Micrographics

CONFIDENTIAL RECORDS

Confidential records are records that are not open to the public in order to protect the privacy rights of individuals or the security arrangements of locations, persons, places and items as defined by law. Federal and State statutes and regulations determine a record's confidentiality status. Restrictions to public inspection of confidential records may apply to the entire record or to discrete portions of information enclosed in the record. It is the agency's responsibility to identify records containing confidential information.

CONSERVATION

Treatments that stabilize, repair, or restore deteriorated records to a usable condition. Also means the transfer of information from a deteriorating recording medium to a more stable recording medium (Migration).

CONVENIENCE COPY / READING FILE:

Unofficial files; duplicates of any documents or publications kept solely for ease of reference

COPIES:

The Official Copy of a record should be designated whenever possible if copies are made. A copy of a record does not always give it non-record status. Several copies of a single form may have record status because each serves a separate program purpose. Multiple copies of an original record are typically categorized as non-record materials.

CUBIC FEET

Measurement of volume for records, archives, and manuscripts A cubic foot (cu. ft. or c.f.) is 1' x 1' x 1'. To determine a cubic foot measure the dimensions of the container's length, width and height in inches and input them into the following formula: **(Length x Width x Height) / 1728**

CUSTODY

The guardianship of records, archives and manuscripts which may include both physical possession (protective responsibility) and legal title (legal responsibility).

DELAWARE PUBLIC ARCHIVES

The Delaware Public Archives is hereby constituted the central depository for the reports, publications, rules and regulations of the government of this State and all political subdivisions thereof. [Title 29 Delaware Code § 519](#)

DESCRIPTION

A list of representative records in the records series, or a clarification of the title in a retention schedule.

DISPOSITION

The final action that puts into effect the results of an appraisal decision for a series of records e.g. transfers to the archives for permanent preservation, transfer to a records center, or destruction.

DOCUMENT

Recorded information, regardless of form or medium, with three basic elements: base, impression, and message frequently used interchangeably with record or documentary materials

ELECTRONIC RECORDS

An electronic record is a record that is stored, generated, received, or communicated by electronic means for use by, or storage in, an information system or for transmission from one information system to another. Electronic record formats include, but are not limited to, word processing documents, spreadsheets, databases, emails, websites, audio, and video files, etc. NOTE: The content of a record, not the medium, determines whether a record constitutes a public record.

ELECTRONIC MAIL

Electronic mail are text documents which are created, stored, and delivered in an electronic format. As such, email messages are similar to other forms of communicated messages, such as correspondence, memoranda, and circular letters. Email may also contain features commonly associated with traditional records systems. They include calendars, directories, distribution lists, and attachments such as word processing documents, spreadsheets, or images that are incorporated into an email message. Also referred to as E-mail

EVIDENTIAL VALUE

The value of records or papers as documentation of the operations and activities of the records-creating organization, institution, or individual

FINDING AID

A description or list from any source that provides information about the contents, location, and nature of documentary materials

FISCAL VALUE

Records used to document an agency's financial decisions and activities. These records are critical in supporting the agency while undergoing audits.

GENERAL SCHEDULE

A records retention schedule which specifies the disposition of certain series of records common to many offices or agencies within the same organization or type of government. See also RETENTION SCHEDULE.

HISTORICAL RECORDS

Records that will be a community resource for historical and genealogical research, exhibits, publications, teaching aids, long-term legal documentation, or other activities. The long-term usefulness of a record for historical or other research determines whether a record will be kept permanently.

INFORMATION RESOURCE SPECIALIST:

A duty position within the Delaware Public Archives that is also referred to as a Records Analyst. This person is responsible to coordinate records management functions (e.g. policies and procedures, create schedules, and training) with an agency's Records Officers to ensure compliance with the State of Delaware's Public Records Law.

LEGAL VALUE

Records that document or support an organization's business agreements, ownership rights, or that document the rights of citizens.

LIFE CYCLE

Records pass through identifiable phases from the point of their creation, through their active maintenance and use, to their final disposition by destruction or transfer to an archival institution or records center.

MICROFILM

Reduced scale, photographic record of documentary materials.

MICROGRAPHICS

The technology involved in the creation and use of microfilm media, including reels, fiche, and computer output microfilm (COM).

NON-RECORD MATERIAL

Material that is not record in character because it comprises solely library or other reference items, because it duplicates records and provides no additional evidence or information, or because its qualities are non-documentary.

OPTICAL CHARACTER RECOGNITION (OCR)

Process used to capture, recognize, and translate printed alphanumeric characters into machine readable and searchable text.

PERMANENT RETENTION

Indicates need for continued retention of record due to its long-term administrative, legal, fiscal, or historical value.

PRESERVATION

Action taken to slow or prevent the deterioration or damage of archival records Basic actions to provide adequate facilities for the protection, care, and maintenance of archives, records, and manuscripts

PUBLIC RECORDS

Any document, book, photographic image, electronic data recording, paper, sound recording or other material regardless of physical form or characteristics, including electronic records created or maintained in electronic information systems, made, used, produced, composed, drafted or otherwise compiled or collected or received in connection with the transaction of public business or in any way related to public purposes by any officer or employee of this state or any political subdivision thereof

PURGING

The process of examining files to identify and selectively remove, non-record materials and documents of short-term value, especially those eligible for immediate destruction. Also known as screening and weeding files.

RECORDS CENTER (STATE)

A facility designed and constructed to provide low-cost efficient storage and reference service for inactive records pending ultimate disposition. In this case, the State Record Center is synonymous with the Delaware Public Archives.

RECORD GROUP

Organizationally related records established on the basis of origin with particular regard for the complexity and volume of the records and the administrative history of the record-creating institution or organization.

RECORDS MANAGEMENT

The application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposition of records, undertaken to reduce costs and improve efficiency in record-keeping. Includes management of filing and imaging equipment and supplies; filing and information retrieval systems files; correspondence, reports, and forms management; historical documentation; imaging; systems applications; retention scheduling; and vital record identification and protection.

RECORDS OFFICER

The person(s) whose responsibilities include the development and oversight of an agency's records management programs. [29 Delaware Code § 502\(9\), 504\(a\)\(3\), 506, and 521\(b\) & \(c\).](#)

RECORD SERIES

Records, files or items arranged in accordance with a filing system or maintained as a unit because they result from the same accumulation or filing process, the same function, or the same activity; have a particular form; or because of some other relationship due to their creation, receipt, or use. An example of a Records Series, using the State Agency General Personnel Retention Schedule, is GPR-005: PERSONNEL RECORD, DEPARTMENTAL. It is the Master personnel record for each employee established and maintained by the appointing authority of each agency. This series is a file unit that is comprised of many items but maintained as a single unit out of operational necessity.

RECORDS SERIES INVENTORY

1. A detailed listing that may include the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records
2. The breaking down of each record to capture all pertinent information about the record for use in its appraisal

RETENTION INSTRUCTIONS

Specific instructions directing the minimum retention for each record series. Remarks indicate length of time that the record should be retained by the agency and the events or time periods that need to occur before disposition of the record series can be effected. Exceptions to the retention instructions are noted.

RETENTION SCHEDULE

A list of record series which describes an agency's records; establishes a **minimum** period for their retention by the agency, and provides mandatory instructions on what to do with them when they are no longer needed for current business. Also called records disposition schedule, records control schedule, records retention schedule, records retention and disposition schedule, or schedule.

SCHEDULE

To establish retention periods for current records and provide for proper disposition at the end of their active use.

SECURITY COPY

Copy of a vital record that is stored for security purposes in a location apart from the original records Used to restore data in case of an emergency or disaster

VITAL RECORDS

Vital Records are those records that are required to ensure that an agency is able to function during an emergency, disaster, and recovery operations. Furthermore, they are records that are crucial to protecting the legal and financial rights and interests of an agency and of the individuals directly affected by its activities. The agency is responsible for identifying which of their records are Vital.

Working Papers

Working papers are Records. Do not confuse "Non-records" with "working papers". Working papers are public records assembled or created in the preparation of other records, and are needed to trace actions, steps, and decisions covered in the final or master record. These may include rough notes or calculations used in the preparation of audits, budgets, studies, or reports that are not fully represented in the final product. They support the final product, but are not fully represented by the final product and may offer important evidence concerning how the final product was derived.

Credits: Portions of this glossary were retrieved from the National Archives, [Archives Library Information Center \(ALIC\)](#)

J. RECORDS MANAGEMENT ON-LINE RESOURCES

Access To Records	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Information Resource Specialist (Analyst) Assignments	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Appointment of Records Officers and Authorized Agents	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Common Rule for Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments (OMB Circular A-102) Audits of States, Local Governments, and Non-Profit Organizations (OMB Circular A-133)	http://www.whitehouse.gov/omb/circulars_index-slg/
Delaware Documentation Procedures	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Delaware Statutes <ul style="list-style-type: none">• Freedom of Information Act• Public Records Law• Uniform Electronic Transactions Act	http://delcode.delaware.gov/title29/c100/index.shtml http://delcode.delaware.gov/title29/c005/sc01/index.shtml http://delcode.delaware.gov/title6/c012a/index.shtml
Delaware Public Archives Forms	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Destruction <ul style="list-style-type: none">• Items Prohibited in Destruction Boxes• Records Transfer and Destruction Boxes	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Electronic Records <ul style="list-style-type: none">• Model Guidelines for Electronic Records• Suitable Media and Formats for Submitting eRecords• Electronic Mail• Guidelines for Maintaining and Preserving Records of Web-based Activities	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Guidelines for Utilizing Paper and Computer Output Conversion Services	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Records Retention / Disposition Projects Cubic Foot Conversion Chart	http://archives.delaware.gov/govsvcs/govsvcs.shtml

Transfers <ul style="list-style-type: none">• Preparation of Records for Transfer to DPA• Guidelines for Utilizing Records Storage Facilities	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Users Guides For: <ul style="list-style-type: none">• Appointment Orders• Destruction• Imaging Support• Record Series Inventory• Record Service Requests• Transfers	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Vital Records Management	http://archives.delaware.gov/govsvcs/govsvcs.shtml

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