



# **Delaware Solid Waste Authority**

## **Retention Schedule**

**Delaware Solid Waste Authority  
1128 South Bradford Street  
Dover, DE. 19904**

**April 8, 2022**

## **TABLE OF CONTENTS**

**A. Introduction**

**B. Schedule Format**

**C. Index to Record Series (by Series Number)**

**D. Delaware Solid Waste Authority Agency Specific Records Retention Schedule**

**E. Benefits of Records Management**

**F. Helpful Hints for Records Management**

**G. Audits and Statutory Requirements**

**H. Non-Record Material**

**I. Glossary of Records Management Terms**

**J. Records Management Online Resources**

## 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 Solid Waste 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.

## B. 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 <b>Description</b> identifies typical documents found within the record; it explains their function, purpose and possible relationships to other records and organizations.
Confidential / Vital	<p><b>Confidential:</b> 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.</p> <p><b>Vital:</b> 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)</p>
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

MASTER FILES	SW-001
STAFF REPORTS	SW-002
TECHNICAL AND ADMINISTRATIVE FILES	SW-003
CORRESPONDENCE LOG	SW-004
LEGAL NOTICES	SW-005
BOARD MEETING MINUTES	SW-006
COMMITTEE MEETING PACKAGES	SW-007
DIRECTIVES, MANUALS, HANDBOOKS, PUBLICATIONS, REGULATIONS, OPERATIONS PROCEDURES	SW-008
LIBRARY BOOKS	SW-009
PHONE LOGS	SW-010
SIGN-IN LOGS	SW-011
DSWA DEEDS, REAL ESTATE PROPERTY FILES	SW-012
VEHICLE OPERATIONS FILES	SW-013
EQUIPMENT MAINTENANCE FILES	SW-014
FACILITY DESIGN FILES	SW-015
NEWSPAPER ARTICLES	SW-016
PERMITS	SW-017
PUBLIC COLLECTOR LICENSE FILES	SW-018
LEGAL FILES	SW-019
CONTRACTS SERVICE	SW-020
REVENUE BOND ISSANCE BOOKS	SW-021
DAILY REPORTS	SW-022
ACCOUNTS PAYABLE/RECEIVABLE	SW-023
ANNUAL FINANCIAL REPORTS	SW-024
SHOPSITE ORDERS CURBSIDE	SW-025
WEIGH TICKETS	SW-026
FIXED ASSET REPORTS	SW-027
DETAIL REPORTS	SW-028
DSWA STATEMENTS	SW-029
COLLECTION STATION REPORTS	SW-030

STATE OF DELAWARE  
DELAWARE PUBLIC ARCHIVES

Record Group: **1932**

Agency: **DELAWARE SOLID WASTE AUTHORITY**

Division:

Page 1 of 6  
5/1/2000

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
<b>SW-001</b>	<b>MASTER FILES</b> Program and policy correspondence, incoming and outgoing letters and memoranda pertaining to the formulation, planning and implementation of the mission, policies, programs, operations and projects of the Delaware Solid Waste Authority.		Retain at agency 5 years; scan documents; maintain images permanently at agency; transfer to Archives for permanent preservation.	<b>09/04/2009</b> <b>4/8/2022</b>
<b>SW-002</b>	<b>STAFF REPORTS</b> Files of a general nature created or received in the course of administering programs.		Retain at agency 5 years; successful audit; destroy.	<b>09/04/2009</b>
<b>SW-003</b>	<b>TECHNICAL AND ADMINISTRATIVE FILES</b> Documents of short-term interest that have no documentary or evidential value		Retain at agency 1 year; destroy.	<b>09/04/2009</b>
<b>SW-004</b>	<b>CORRESPONDENCE LOG</b> Logs, registers and other records used to control or document the status of correspondence.		Retain at agency 1 year; destroy.	<b>09/04/2009</b>
<b>SW-005</b>	<b>LEGAL NOTICES</b>		Retain at agency 1 year; destroy.	<b>09/04/2009</b>
<b>SW-006</b>	<b>BOARD MEETING MINUTES</b>		Retain at agency 2 years; scan documents; maintain images permanently at agency; transfer copy of images to Archives for permanent preservation.	<b>09/04/2009</b>
<b>SW-007</b>	<b>COMMITTEE MEETING PACKAGES</b> Agendas, handouts and notes of committee meetings		Retain at agency 2 years; scan documents; maintain images permanently at agency; transfer copy of images to Archives for permanent preservation.	<b>09/04/2009</b>

STATE OF DELAWARE  
DELAWARE PUBLIC ARCHIVES

Record Group: 1932

Agency: DELAWARE SOLID WASTE AUTHORITY

Division:

Page 2 of 6  
5/1/2000

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
SW-008	<b>DIRECTIVES, MANUALS, HANDBOOKS, PUBLICATIONS, REGULATIONS, OPERATIONS PROCEDURES</b> Publications produced by agencies detailing their operations, regulations or procedures.		Upon publication, transfer to Archives for permanent preservation. Retain duplicate copies until obsolete or suspended; destroy.  29 Del. Code 519	<b>09/04/2009</b> <b>4/8/2022</b>
SW-009	<b>LIBRARY BOOKS</b> Reference material, externally generated books, magazines, manuals, etc.		Retain at agency until no longer needed; recycle/destroy.	<b>09/04/2009</b>
SW-010	<b>PHONE LOGS</b> Listing of long distance calls by agency personnel, listing of incoming calls, record of messages taken for agency employees		Retain at agency 1 year; reconcile; successful audit; destroy.	<b>09/04/2009</b>
SW-011	<b>SIGN-IN LOGS</b> Logs, registers and other records documenting entry and egress of visitors, employees and clients to the facility during and after working hours		Retain at agency 1 year; destroy.	<b>09/04/2009</b>
SW-012	<b>DSWA DEEDS, REAL ESTATE PROPERTY FILES</b> Deeds, appraisals, title insurance.		Transfer original deeds to Archives upon receipt; retain copy of deed and other documentation at agency until no longer needed; successful audit; destroy. GAR-028 29 Del. Code § 508	<b>09/04/2009</b>
SW-013	<b>VEHICLE OPERATIONS FILES</b> Maintenance and operating records		Retain at agency until transfer, sale or surplus of vehicle; successful audit; destroy. GAR-031	<b>09/04/2009</b>
SW-014	<b>EQUIPMENT MAINTENANCE FILES</b> Documents the maintenance and repair history of equipment used by the agency		Retain at agency until transfer, sale or surplus of equipment; successful audit; destroy. GAR-032	<b>09/04/2009</b>

STATE OF DELAWARE  
DELAWARE PUBLIC ARCHIVES

Record Group: **1932**

Agency: **DELAWARE SOLID WASTE AUTHORITY**

Division:

Page 3 of 6  
5/1/2000

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
<b>SW-015</b>	<p><b>FACILITY DESIGN FILES</b> Documents DSWA projects to construct landfills, transfer stations and recycling facilities. May include construction plans, drawings, blueprints, aerial photographs, bids, proposals, permits, maps and other related documents All construction documents should be kept apart from all other general and/or special fund accounts and all projects within any given year's program should have a separate, well-identified file. In some cases, other agencies that are the contract owner and are the custodian of the construction documents will maintain the record copy</p>		<p>Retain at agency 3 years after completion of successful audit; scan documents; maintain images permanently at agency; transfer copy of images to Archives for permanent preservation.</p> <p>Exception: Deeds of land acquisition and archival "as built drawings" must be transferred to Delaware Public Archives when received. GAF-034, GAR-030, 29 Del. Code 507 and 508</p>	<p><b>09/04/2009</b> <b>4/8/2022</b></p>
<b>SW-016</b>	<p><b>NEWSPAPER ARTICLES</b> Articles that relate to DSWA These are cut out, mounted and kept on file</p>		<p>Scan documents; maintain images permanently at agency; destroy hardcopies</p>	<p><b>09/04/2009</b> <b>4/8/2022</b></p>
<b>SW-017</b>	<p><b>PERMITS</b> Created by other regulatory agencies to permit DSWA to construct landfills; recycling facilities; dispose of asbestos; operate transfer stations; etc. Contains restriction, length of time of permit and test/lab results</p>		<p>Retain at agency 10 years; scan documents; maintain images permanently at agency; transfer copy of images to Archives for permanent preservation.</p>	<p><b>09/04/2009</b></p>
<b>SW-018</b>	<p><b>PUBLIC COLLECTOR LICENSE FILES</b> DSWA licenses transporters of solid waste in Delaware. The licenses are renewed every 2 years in July. Used mostly by DSWA compliance officers, sometimes by accounting staff and on occasion in court. Contains license form, application form, bond form, insurance certificate; copies of vehicle registration cards, DSWA vehicle identification numbers of each vehicle licensed and related general correspondence</p>		<p>Scan to optical system as soon as practical; retain images at agency 4 years; destroy.</p>	<p><b>09/04/2009</b> <b>4/8/2022</b></p>
<b>SW-019</b>	<p><b>LEGAL FILES</b> Created by the judicial system, attorneys and court reporters Used mostly by legal counsel</p>		<p>Retain at agency for 15 years; destroy.</p>	<p><b>09/04/2009</b> <b>4/8/2022</b></p>

STATE OF DELAWARE  
DELAWARE PUBLIC ARCHIVES

Record Group: 1932

Agency: DELAWARE SOLID WASTE AUTHORITY

Division:

Page 4 of 6  
5/1/2000

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
SW-020	<b>CONTRACTS SERVICE</b> Contracts with vendors for goods and services Includes copies of specifications, advertised bid proposals, correspondence and other related documents		Scan to data system as soon as practical; retain at agency 3 years after termination of contract; successful audit; destroy.	09/04/2009
SW-021	<b>REVENUE BOND ISSUANCE BOOKS</b> Contain DSWA history, past bond issues, sources of payment, description of the bond, DSWA facilities, financial statements and projections		Retain at agency for life of bond issue plus 3 years; transfer to Archives for permanent preservation.	09/04/2009
SW-022	<b>DAILY DEPOSITS</b> Original copies of checks from accounts receivable/curbside payments		Retain at agency 2 years; successful audit; destroy.	09/04/2009
SW-023	<b>ACCOUNTS PAYABLE/RECEIVABLE</b> Files of AR/AP and their payment history with correspondence		Retain at agency 7 years; successful audit; destroy.	09/04/2009
SW-024	<b>ANNUAL FINANCIAL REPORTS</b> Yearly reporting detailing the financial status of DSWA		Transfer two copies to Archives for permanent preservation.	09/04/2009
SW-025	<b>SHOPSITE ORDERS CURBSIDE</b> Work orders use to process customers requesting the curbside pickup program		Retain at agency 1 year; successful audit; destroy. <b>Obsolete as of 2010</b>	09/04/2009 4/8/2022
SW-026	<b>WEIGH TICKETS</b> Tickets generated at landfill scale to show transactions		Retain at agency 7 years; successful audit; destroy.	09/04/2009
SW-027	<b>FIXED ASSET REPORTS</b> Report of all assets belonging to DSWA and their depreciation		Retain at agency permanently.	09/04/2009

STATE OF DELAWARE  
DELAWARE PUBLIC ARCHIVES

Record Group: **1932**

Agency: **DELAWARE SOLID WASTE AUTHORITY**

Division:

Page 5 of 6  
5/1/2000

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
<b>SW-028</b>	<b>DETAIL REPORTS</b> Report showing all transactions at each landfill for a given month		Retain at agency 2 years; successful audit; destroy.	<b>09/04/2009</b>
<b>SW-029</b>	<b>DSWA STATEMENTS</b>		<b>No longer maintaining copies</b>	<b>09/04/2009</b> <b>4/8/2022</b>
<b>SW-030</b>	<b>COLLECTION STATION REPORTS</b> Record of daily transactions		Retain at agency 3 years; successful audit; destroy.	<b>09/04/2009</b>

STATE OF DELAWARE  
DELAWARE PUBLIC ARCHIVES

Record Group: 1932

Agency: DELAWARE SOLID WASTE AUTHORITY

Division:

Page 6 of 6  
5/1/2000

**Agency Notes:**

1. Delaware Codes used within this Retention Schedule:
  - a. [29 DE C. § 5](#) Public Records Law
  - b. [29 DE C. § 100](#) Freedom of Information Act (FOIA)
  - c. [6 DE C. § 12A](#) Uniform Electronic Transaction Act
  - d. [7 DE C. § 64](#) Delaware Solid Waste Authority
2. Delaware Administrative Code:
  - a. [1 DE Admin C. § 500](#) Delaware Solid Waste Authority
3. United States Code/Code of Federal Regulation:
  - a. [40 CFR 257](#) Protection of Environment-Environmental Protection Agency-Solid Waste-Criteria for Classification of Solid Waste Disposal Facilities Practices
  - b. [40 CFR 82 F](#) Protection of Environment-Environmental Protection Agency-Air Programs-Recycling and Emissions Reduction
4. An "Electronic record" is defined as a public 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. Retention of electronic records; originals, is satisfied by retaining an electronic record of the information in the record which accurately reflects the information set forth in the record after it was first generated in its final form as an electronic record or otherwise; and remains accessible for later reference. A record retained as an electronic record satisfies law requiring a person to retain a record for evidentiary, audit, or like purposes, unless a law enacted after July 14, 2000, specifically prohibits the use of an electronic record for the specified purpose.
5. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
6. 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.
7. 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 ([Title 29 DE Code §503\(b\)\(7\)](#))

**Notes: Retention Schedule Modification History**

<b>Series</b>	<b>Title and Explanation and action taken</b>	<b>Retention</b>	<b>Date of change</b>
SW-001	Master Files	Records no longer being transferred to State Record Center	4/8/2022
SW-008	Directives, Manuals, Handbooks, Publications, Regulations, Operations Procedures	No longer transferring 2 copies	4/8/2022
SW-015	Facility Design Files	Removed Record Copy and Info Copy	4/8/2022
SW-016	Newspaper Articles	Removed transfer copy of images to Archives for Permanent preservation	4/8/2022
SW-018	Public Collector License Files	Added every 2 years, removed of each year and changed From 25 years to 4 years	4/8/2022
SW-019	Legal Files	Removed scan to optical disk system as soon as practical	4/8/2022
SW-025	Shopsite Orders Curbside	Obsolete as of 2010	4/8/2022
SW-029	DSWA Statements	No longer maintaining copies	4/8/2022

## **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 Solid Waste 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](mailto: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' 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	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>
Information Resource Specialist (Analyst) Assignments	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>
Appointment of Records Officers and Authorized Agents	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>
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)	<a href="http://www.whitehouse.gov/omb/circulars_index-slg/">http://www.whitehouse.gov/omb/circulars_index-slg/</a>
Delaware Documentation Procedures	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>
Delaware Statutes <ul style="list-style-type: none"><li>• Freedom of Information Act</li><li>• Public Records Law</li><li>• Uniform Electronic Transactions Act</li></ul>	<a href="http://delcode.delaware.gov/title29/c100/index.shtml">http://delcode.delaware.gov/title29/c100/index.shtml</a> <a href="http://delcode.delaware.gov/title29/c005/sc01/index.shtml">http://delcode.delaware.gov/title29/c005/sc01/index.shtml</a> <a href="http://delcode.delaware.gov/title6/c012a/index.shtml">http://delcode.delaware.gov/title6/c012a/index.shtml</a>
Delaware Public Archives Forms	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>
Destruction <ul style="list-style-type: none"><li>• Items Prohibited in Destruction Boxes</li><li>• Records Transfer and Destruction Boxes</li></ul>	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>
Electronic Records <ul style="list-style-type: none"><li>• Model Guidelines for Electronic Records</li><li>• Suitable Media and Formats for Submitting eRecords</li><li>• Electronic Mail</li><li>• Guidelines for Maintaining and Preserving Records of Web-based Activities</li></ul>	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>
Guidelines for Utilizing Paper and Computer Output Conversion Services	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>
Records Retention / Disposition Projects Cubic Foot Conversion Chart	<a href="http://archives.delaware.gov/govsvcs/govsvcs.shtml">http://archives.delaware.gov/govsvcs/govsvcs.shtml</a>

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

[Table of Contents](#)