



# **DELAWARE STATE AGENCY GENERAL RECORD RETENTION SCHEDULE**

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## A. INTRODUCTION

It is the duty of the Delaware Public Archives (Archives) 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 Archives 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 General Records Retention Schedules that list the records commonly used by all State of Delaware agencies.

This schedule is used in conjunction with the Agency Specific Records Retention Schedules. Each record is categorized by its function (e.g. Accounting and Finance, Administrative, Electronic, and Personnel) and by type (Series). Unless otherwise indicated, each agency is responsible to retain the original record copy that they create. Retention periods listed in this schedule supersede those found in previous versions of the General 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 Resources Specialist (Records 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 ([29 Del. C. §504](#)).

The Archives has assigned an Information Resources Specialist (Records 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 Archives 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 Schedules and Agency Specific Retention Schedules. By following the retention instructions as set forth by the appropriate 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. HOW TO USE THIS PUBLICATION

The General Records Retention Schedule contains the listing of common record series used by State of Delaware agencies. 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 Archives, or in certain cases by both. Records Officers and Authorized Agents should contact their Archives Information Resources Specialist regarding any questions concerning records created or maintained by their agency (see [Agency Assignments](#)).

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 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 Schedules.** 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 Archives Records Analyst 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.** Ensure that all audit requirements have been met and litigation proceedings finalized prior to destruction (see section F. Audit and Statutory Requirements).
5. **Do not destroy any records until you receive a copy of the Destruction Notice 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 audit 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 Archives. For more information, please refer to the Archives 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 Services section of Archives) and the [Transfer Document](#). Email the Transfer Document and the Content List (Excel spreadsheet) to the agency's Archives Records Analyst or the Analyst Team mailbox ([AnalystTeam@delaware.gov](mailto:AnalystTeam@delaware.gov)) to coordinate arrangements for the transfer of records. For more information, please refer to the following Archives publications for further information regarding the transfer of records: [Preparation of Records for Transfer to Archives](#), [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 Archives procedures.** Contact your Archives Records Analyst if you have questions regarding these procedures. For more information, please refer to the following Archives 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 Archives 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.

## C. SCHEDULE FORMAT

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

Record Series #.	<p>Record Series numbers are alphanumeric designations assigned by an Archives Records Analyst to identify the agency's records (Record Series).</p> <p>Example using the State Agency General Accounting and Financial Retention Schedule: GAF-003 is the Record Series Number for the series title: ACCOUNTS RECEIVABLE</p>
Record Series Title and Description	<p>The Record 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.</p> <p>Example using the State Agency General Accounting and Financial Retention Schedule: ACCOUNTS RECEIVABLE. Records concerning the status of accounts in which the state is owed money by firms or individuals. Consists of account receivable reports and Invoices (IN) used to issue billings and/or to record anticipated revenues. Includes amounts owed on an open account to a governmental unit by any other unit of state government...</p>
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>Agency personnel may have to redact personally protected or confidential information discovered within a record whose series is not listed in the retention schedule as confidential. This information may have been included in the record by accident or because of an exceptional situation. In either case, the information must be redacted prior to servicing the record to requestors without the proper clearance and need to know.</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, or migration strategies (electronic records) to ensure measures are in place to safeguard these records (e.g. COOP).</p>
Retention and Disposition Instructions	<p>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 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.</p>
Date Approved/ Revised	<p>Date that the Record Series was added or revised.</p>
Agency Notes	<p>Notes regarding the development of a retention schedule that include Statutory requirements and other references to assist the agency Records Officers and management teams in future development or modification of the schedule.</p>
Retention Schedule Modification History	<p>Provides a brief history of the Record Retention schedule, including the development and modification that may have occurred to the Record Series.</p>

## **D. STATE GENERAL RECORDS RETENTION SCHEDULES**

### **STATE GENERAL RECORD RETENTION SCHEDULES**

<b><u>Schedule Name</u></b>	<b><u>Revision Date</u></b>
<b>Accounting and Financial Records (GAF)</b>	<b>2017</b>
<b>Administrative Records (GAR)</b>	<b>2017</b>
<b>Electronic Records (GER)</b>	<b>2011</b>
<b>Personnel Records (GPR)</b>	<b>2022</b>

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RECORD SERIES #	RECORD SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
<b>ACCOUNTS PAYABLE</b>				
<b>GAF-001</b>  (GAF-002 GAF-003 GAF-006 GAF-007 GAF-011 GAF-024)	<b>ACCOUNTS PAYABLE</b>  Documented payments made by the agency for items purchased or services rendered. This record series includes:  <b>Purchase Orders (PO)</b> (Regular, Open-End, and Emergency). Documents that authorize the delivery of specified merchandise or the rendering of a certain service, showing the amount authorized.  <b>Requests for Purchase Orders.</b> Documents used to reserve funds in anticipation of establishing an obligation for the acquisition of goods and services.  <b>Requisitions.</b> Written requests from a sub-agency to the purchasing officer of the originating agency or between agencies for services.  <b>Payment Vouchers (PV)</b> (Regular, Direct Claim and Personal Expense). Series includes requests for payment from a vendor for goods or services in accordance with a properly executed purchase order or contractual agreement ( <b>PV</b> ), payment vouchers used to reimburse state employees for travel expenses, including room and board, while on official state business, such as a convention or conference ( <b>PE-PV</b> ). May include bills, credit card receipts, invoices, logs, monthly statements, online orders, packing slips, shipping tickets, transactions, and Manual Warrants ( <b>MW</b> ) from the Department of Finance, etc.  <b>Intergovernmental Vouchers (IV).</b> Interdepartmental billing forms used by state agencies to bill other state agencies for goods/services rendered. <i>Example:</i> Services contracted thru another agency, such as billings for phone usage contracted through Delaware Department of Technology and Information.	<b>SEE RETENTION INSTRUCTIONS</b>	Retain at agency three years; successful audit; destroy.  Records that could jeopardize the security of any state owned structure, facilitate the planning of a terrorist attack, or endanger the life or physical safety of an individual are to be treated as confidential per <a href="#">29 Del C. § 10002(d)(17)a</a>	<b>8/7/2017</b>

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<b>GAF-002</b>  (GAF-028)	<b>PROJECT / VENDOR RECORDS</b>  Contain agency copies of purchase orders with the agency copy of the payment vouchers attached.  <b>NOTES:</b> 1) See <a href="#">Requisitions and Purchase Orders</a> and <a href="#">Payment Vouchers</a> GAF-001 for retention of record copies. 2) Records that apply to <a href="#">Procurements</a> GAF-030 must be maintained separately from project/vendor files. 3) It is recommended by the State Auditor of Accounts Office to maintain these records by project type as opposed to by vendor in case of vendor turnover.		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>ACCOUNTS RECEIVABLE</b>				
<b>GAF-003</b>  (GAF-010 GAF-030B)	<b>ACCOUNTS RECEIVABLE</b>  Records concerning the status of accounts in which the state is owed money by firms or individuals. Consists of account receivable reports and invoices (IN) that are used to issue billings and/or to record anticipated revenues. Includes amounts owed on an open account to a governmental unit by any other unit of state government. Listing of invoices that identify outstanding accounts and paid accounts.		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>GAF-004</b>  (GAF-005 GAF-033 GAF-035 GAF-036)	<b>RECEIPTS REPORTS AND LEDGERS - CASH/CREDIT</b>  General records maintained by agencies of financial receipts and expenditures normally used to monitor, manage, and verify agency budget. Commonly a detailed ledger of all receipts under appropriate headings, classifications and arrangements as prescribed (i.e. budget unit, appropriation, and revenue code). This series includes system documents, forms, support records such as cash register receipts and tapes, receipt books, receipt slips, online registration payment records, etc. that are used to report and record the receipt of revenue and other funds by authorized representatives of the state. Formerly known as Reports of Cash Receipts (CR).		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>



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<b>GAF-005</b>  (GAF-004)	<b>JOURNAL VOUCHERS</b>  First State Financial (FSF) documents used to adjust prior coding of expenditures. Formerly known as Expenditure Corrections (EX).		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>BUDGET</b>				
<b>GAF-006</b>  (GAF-008)	<b>EXPENSE BUDGETS (EB)</b>  Allows agencies to define funds available down to the object code level. Each item listed represents an object of expenditure within the appropriation.		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>GAF-007</b>  (GAF-009)	<b>REVENUE BUDGETS (RB)</b>  Establish the revenue side of the budget in First State Financials (FSF). Each line represents the sources of revenue expected to be received.		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>GAF-008</b>  (GAF-018 GAF-088)	<b>BUDGET TRANSFERS (TR)</b>  Documents the approval or denial for changes in an approved budget. Includes documents used to transfer funds between current fiscal year appropriation accounts or to report all transfers of funds between appropriate accounts.		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>GAF-009</b>  (GAF-019)	<b>OPERATIONAL BUDGET WORKING PAPERS</b>  Includes the working papers and documents used to support budget planning and annual departmental requests made to the Budget Office for allocation of operational funds for the upcoming fiscal year.		Retain at agency three years; successful audit; destroy.  <b>NOTE:</b> The Office of Management and Budget transfers the final prepared budgets electronically to Archives for permanent preservation.	<b>11/20/2013</b>

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<b>GRANT RECORDS</b>				
<b>GAF-010A</b>  (GAF-017)	<b>GRANT MANAGEMENT RECORDS.</b>  Agreements between federal and state agencies for the award of moneys to finance operations of state agencies. This series includes relevant accounting, banking, purchasing, and payroll records; and other documents and working papers associated with the administration of the grant funds. Used to prepare reports as required by federal or state laws or regulations.		<b>A.</b> Retain at agency for three years after completion of project; successful final state and/or federal audit; destroy.  <b>ATTENTION:</b> 1) Agencies must follow all special requirements outlined in a grant's specifications that may require a longer retention period than 3 years. 2) Records for real property and equipment acquired with federal funds must be retained for 3 years after final disposition.  <a href="#">2 C.F.R. § 200.333</a>	<b>08/07/2017</b>
<b>GAF-010B</b>	<b>PROGRAM ACTIVITY REPORTS.</b>  Grant applications, annual, narrative or statistical reports on the activities supported by the grant program.		<b>B.</b> Retain at agency for three years after completion of project; transfer to the Archives for permanent preservation.	
<b>GAF-011</b>  (GAF-052)	<b>FEDERAL AID MASTERS (FM)</b>  Contains pertinent data on a federal grant and sub grant. Used to enter and modify descriptive and budgetary grant information.		Retain at agency for three years after completion of project; successful federal final audit; destroy.  <b>ATTENTION:</b> Agencies must follow all special requirements outlined in a grant's specifications that may require a longer retention period than three years.  <a href="#">2 C.F.R. § 200.333</a>	<b>11/20/2013</b>
<b>GAF-012</b>  (GAF-029)	<b>FEDERAL CONTROL LEDGERS AND MANUAL POSTINGS</b>  This series contains records pertaining to federal fund accounts only. Included are documents or entries that show: control by appropriation and account code, salaries by appropriation and account code, and disbursements by account code (year-to-date).		Retain at agency for three years after completion of project; successful federal final audit; destroy.  <b>ATTENTION:</b> Agencies must follow all special requirements outlined in a grant's specifications that may require a longer retention period than three years.  <a href="#">2 C.F.R. § 200.333</a>	<b>11/20/2013</b>

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<b>MISCELLANEOUS ACCOUNTING RECORDS</b>				
<b>GAF-013</b>  (GAF-038 thru 047 GAF-053 GAF-055 thru 059 GAF-061 GAF 062 GAF-091)	<b>FIRST STATE FINANCIAL (FSF) MONTHLY ACCOUNTING RECONCILIATION REPORTS</b>  This series documents monthly reconciliation reports and supporting documenting created by state agencies and submitted to the Division of Accounting that includes First State Financial documents that are used to reconcile an agency's transactions and complete the FSF Monthly Reconciliation Certification sent to the Division of Accounting.		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>GAF-014</b>  (GAF-022)	<b>AUDIT REPORTS OF A STATE AGENCY</b>  This record series includes audit reports of each state agency conducted by the Auditor of Accounts or internal audits conducted by the state agency. This series includes the following types of audits and attestation engagements, including but not limited to, examinations and compliance, and financial and performance audits. These records may consist of the final audit reports and any formal correspondence of additional findings not listed in the audit report.		Retain at agency until all findings are corrected plus three years; destroy.	<b>08/07/2017</b>
<b>GAF-016</b>  (GAF-037 GAF-051)	<b>GENERALLY ACCEPTED ACCOUNTING PRINCIPLES REPORTING PACKAGE (GAAP)</b>  This record series contains all supporting documentation and collection forms used to provide annual financial reporting by all budgetary units. This package is used to collect required accrual data and to organize it by appropriate fund type. Components of the GAAP package include, cash and investments, accounts receivable, accounts payable, inventory, lease commitments, compensated absences, agency projects such as construction work in progress and computer software in progress, activity summary of revenue and expenses, reporting checklist and the organization letter of representation.		Retain at agency three years; successful audit; destroy.	<b>08/07/2017</b>

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<b>GAF-017</b>  (GAF-012 GAF-013 GAF-014 GAF-023)	<b>BANKING RECORDS</b> <b>(Cancelled Checks, Check Stubs, Registers, Statements,)</b>  Records that reflect the agency's banking activity and transactions. Includes adjustment documents, cancelled checks, check registers, copies of checks issued, deposit slips, outstanding checks lists, reconciliation sheets, bank receipts verifying amounts deposited into bank accounts (attached to <a href="#">Receipts Reports and Ledges-Cash/Credit</a> (GAF-004)), and the Petty Cash Fund system containing small amounts of cash kept on hand for immediate cash purchases.		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>GAF-018</b>  (GAF-025)	<b>AGENCY BANK ACCOUNTS (TR-1A, TR-1B, TR-1C)</b>  Requests to State Treasurer for written approval prior to opening, closing, changing, or transferring any bank checking or savings account.		Retain at agency through close of account plus three years; successful audit; destroy.	<b>11/20/2013</b>
<b>GAF-019</b>  (GAF-090)	<b>EXCEPTION REPORTS</b>  Records that document any exceptions or adjustments that were made to the normal cycle of accounting processes (changes in hours, etc.)	<b>CONFIDENTIAL</b>  <a href="#">29 Del. C. § 10002(1)(1)</a>	Retain at agency three years; successful audit; destroy.	<b>08/07/2017</b>
<b>GAF-020</b>  (GAF-027)	<b>EXCESS PROPERTY DISPOSITION REQUESTS</b>  Documentation may include Excess Property Declaration Forms, Surplus Services Forms, Equipment Reimbursement Forms (for real property valued over \$5,000.00), and supporting documents used by agencies to obtain authorization for the appropriate disposition of real property no longer required by the agency. Disposition may include specific instructions for the disposal, sale, salvage, trade-in, etc., of excess state-owned real property.		Retain at agency three years; successful audit; destroy.  <a href="#">29 Del. C. c94</a>	<b>11/20/2013</b>
<b>GAF-021</b>  (GAF-031)	<b>UNCOLLECTIBLE ACCOUNTS</b>  Records from the Secretary of Finance's office that authorize the removal of an account or partial account balance from an agency's active accounts receivable file to the agency's inactive accounts file.		Retain at agency until collection or 10 years, whichever first occurs; successful audit; destroy.	<b>11/20/2013</b>

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<b>GAF-022</b>  (GAF-048)	<b>GENERAL FUND DISBURSEMENTS</b>  Listing of general fund disbursements.		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>
<b>PAYROLL RECORDS</b>				
<b>GAF-023A</b>  (GAF-063 thru 070 GAF-076 GAF-083)	<b>PAYROLL HUMAN RESOURCE STATEWIDE TECHNOLOGY REPORTS (PHRST)</b>  <b>PAYROLL FUNDING EXPENDITURE AUTHORIZATIONS.</b>  This series documents bi-weekly payroll funding expenditure authorizations and associated documentation and reports submitted by the agency to Division of Accounting providing affirmation that the department has the necessary funds to pay the payroll expenditure.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. § 10002(1)(1)</u></a>	<b>A.</b> Retain at agency three years; successful audit; destroy.	<b>08/07/2017</b>
<b>GAF-023B</b>	<b>PAYROLL AND BENEFIT CORRECTIONS.</b>  This series documents action requests made by the employee or agency to make corrections to an employee's pay and/or benefits. May include applications, authorization forms and other supporting documentation as needed by the employee or agency.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. § 10002(1)(1)</u></a>	<b>B.</b> Retain at agency three years; successful audit; destroy.	<b>08/07/2017</b>
<b>GAF-023C</b>	<b>PAYROLL INTERNAL CONTROL PLAN AND QUESTIONNAIRE RECORDS</b>  This series documents an agency's Payroll Internal Control Plan and Questionnaire submitted to Division of Accounting. Documents are scored and results (Strong, Adequate, Lacking or Weak) are distributed to agencies. This series may also be used by auditors during their inspection of payroll records.		<b>C.</b> Retain at agency three years; successful audit; destroy.	<b>08/07/2017</b>

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	<b>TAX FORMS</b>			
<b>GAF-024A</b> (GAF-071)	<b>FORM W-4.</b> Federal form used to instruct employers what to withhold for federal income tax.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. § 10002(1)</u></a>	<b>A.</b> Retain for 4 years after the date of the last Form 1040 filed using the associated Form W-4.  <a href="#"><u>26 C.F.R. § 31.6001-1(e)(2)</u></a>	<b>08/07/2017</b>
<b>GAF-024B</b>	<b>FORM W-5.</b> Federal form used to request advanced earned income credit. Records for this series will not be created after January 1, 2011.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. § 10002(1)</u></a>	<b>B.</b> Retain at agency 4 years after tax due date or date tax paid, whichever is later; successful audit; destroy. The last record of this series may be destroyed after January 1, 2015.  <a href="#"><u>26 C.F.R. § 31.6001-1(e)(2)</u></a>	<b>08/07/2017</b>
<b>GAF-024C</b>	<b>FORM W-9.</b> Federal form used by vendors to provide a Taxpayer Identification Number to the state to provide a report of income paid.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. § 10002(1)</u></a>	<b>C.</b> If a vendor is in the First State Financial system then retain in system for life of company plus 3 years; successful audit; destroy. If a vendor is not in the First State Financial system then retain at agency for duration of service plus 3 years; successful audit; destroy.	<b>08/07/2017</b>
<b>GAF-024D</b>	<b>FORM 1099 MISC.</b> Federal form used to report payments made to vendors for providing goods or services to the state.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. § 10002(1)</u></a>	<b>D.</b> If vendor is in the First State Financial system then retain in system for life of company plus 3 years; successful audit; destroy. If the vendor is not in the First State Financial system then retain at agency for duration of service plus 3 years; successful audit; destroy.	<b>08/07/2017</b>
<b>GAF-025</b>	<b>PAYROLL OVERPAYMENTS AND REPAYMENTS</b>  This series includes any supporting documentation, forms, and approvals used identify wage overpayments to the Division of Accounting as well as the documentation of all repayments made to satisfy the debt.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. § 10002(1)</u></a>	Retain at agency 3 years after debt is satisfied and W-2 or W-2c issued; successful audit; destroy.	<b>08/07/2017</b>

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RECORD SERIES #	RECORD SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
<b>PROCUREMENTS</b>				
	<p><b>CONSTRUCTION DOCUMENTS FOR MAJOR AND MINOR CAPITAL IMPROVEMENT PROJECTS (CIP)</b></p> <p>This series documents the construction of all Major Capital Improvement Projects and for those Minor Capital Improvement Projects (see <a href="#">note 5</a> and <a href="#">note 6</a>) that change, modify, or alter hidden systems (e.g. alarm, electrical wiring, gas, sewer and water lines, plumbing, etc.). Records include the Division of Facilities Management review/approval, Architectural Accessibility Board review and approval, bonds (labor, material and performance), certificates (substantial completion) and permits (occupancy, building) plus county and/or regulatory agency signoffs, change orders (including any significant backup), code or specification required certificates, contracts (construction and professional services), correspondence detailing significant project activities, guarantees and warranties, instructions to bidders / job specifications, bidders' proposals, insurance certificate and updates, job meeting minutes, legal determinations, letter of award, liquidated damage assessment, permits or inspections (concrete, geotech, steel, etc.) and other special reports (engineering, cost analysis), release of liens and affidavit of contractor's payment of indebtedness, project related shop drawings, reports, subcontractors' listing, etc.</p> <p>All construction documents are maintained separate from all other general/special fund accounts. All projects within any given year's program should have a separate, well-identified file. Agencies that are the contract owner and are the custodian of the construction documents should follow the retention for the record copy.</p>			08/07/2017
<p><b>GAF-026A</b></p> <p>(GAF-034 GAF-049)</p>	<p><b>STATE FUNDED PROJECTS</b></p> <p>This series consists of the construction documents for major and minor capital improvement projects (CIP) that are funded by the State of Delaware.</p>	<p><b>CONFIDENTIAL</b></p> <p><a href="#">29 Del C. § 10002(1)(17)a</a></p>	<p>A. Retain at agency three years after completion of project and successful final audit; purge per approved purge list; transfer to archives for permanent preservation.</p> <p><a href="#">NOTE: SEE PURGE/RETAIN ITEM LIST</a></p>	

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<b>GAF-026B</b>	<b>FEDERALLY FUNDED PROJECTS (2 C.F.R.)</b>  This series consists of the construction documents for major and minor capital improvement projects (CIP) that are funded by the federal government.	<b>CONFIDENTIAL</b>  <a href="#">29 Del C. § 10002(l)(17)a</a>	<b>B.</b> Retain at agency three years or the period specified in the federal grant, whichever is longer; successful final audit; purge per approved purge list; transfer to archives for permanent preservation.  Note: <a href="#">See Purge Item List 2 C.F.R. § 200.333</a>	<b>08/07/2017</b>
<b>GAF-026C</b>	<b>DEEDS OF LAND ACQUISITION</b>  This series consists of the original deeds to all state-owned property		<b>C.</b> Transfer to Archives for permanent preservation. <a href="#">29 Del. C. § 508</a>	
<b>GAF-026D</b>	<b>ARCHIVAL “AS BUILT” DRAWINGS</b>  This series includes copies of as-built drawings and specifications for all buildings and other public works that are built on state property.	<b>CONFIDENTIAL</b>  <a href="#">29 Del C. § 10002(l)(17)a</a>	<b>D.</b> Transfer to Archives for permanent preservation. <a href="#">29 Del. C. §§ 507-508</a>	<b>08/07/2017</b>
	<b>TAX EXEMPT BOND FUNDED MAJOR AND MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS</b>  This series documents the receipt and expenditure of funds for budgeted and Tax Exempt Bond (TEB) funded Major and Minor Capital Improvement Projects and includes purchase orders, payment vouchers, account ledgers and other significant backup records that should include summary totals by object and section/division. It is the responsibility of the agency to provide the bond’s start and end dates to the Delaware Public Archives in order to assign the correct retention period.		<a href="#">See Agency Note 6 regarding Bond Retention reference information</a>	<b>08/07/2017</b>
<b>GAF-027A</b>  (GAF-050)	<b>GENERAL OBLIGATION BONDS.</b>  The State’s bond issuing officers determine the term of the bond based on the rate of principal amortization on the State’s overall bond portfolio balanced against the needs of the state’s budget. The life of the bond will listed as 20 years unless otherwise indicated by the agency. Agencies must indicate the term of the bond to the Archives.		<b>A.</b> Retain at agency three years, transfer to State Records Center for life of bond plus 10 years; successful audit; destroy.	



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<b>GAF-027B</b>	<p><b>B. REFUNDED BONDS AND BONDS REPLACED WITH LONGER MATURITIES.</b></p> <p>On occasion, an existing project bond(s) may be refunded by the Department of Finance and replaced by a bond(s) with a longer maturity. When this occurs, an agency must inform the Delaware Public Archives and provide the new bond information in order to adjust the retention period.</p>		<b>B.</b> Retain at agency three years, transfer to State Records Center for life of bond plus 10 years; successful audit; destroy.	<b>08/07/2017</b>
<b>GAF-028</b>  (GAF-050)	<p><b>NON TAX EXEMPT BOND FUNDED MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS</b></p> <p>This series contains all records that document the receipt and expenditures of funds from budgeted Minor Capital Improvement Projects in the form of purchase orders, payment vouchers, account ledgers, significant backup records, etc. Minor Capital Improvement Projects are those projects that do not involve establishing infrastructure and are generally used to maintain the efficiency and condition of State-owned facilities and may involve reconstruction, renovations, or equipment purchases. These projects have estimated costs of up to \$750,000 and the underlying assets should carry a life expectancy of 10 years or more. (<a href="#">Construction Documents For Major And Minor Capital Improvement Projects</a> GAF-026). Examples of these projects could be equipment purchases, painting, window replacement projects, sidewalk replacement, brick work, roof repairs, upkeep, etc.</p>		Retain at agency three years; successful audit; destroy.	<b>08/07/2017</b>
<b>GAF-029</b>  (GAF-089)	<p><b>FIXED ASSET REPORTS</b></p> <p>This series documents the acquisition and disposal of land, buildings, and improvements other than buildings, equipment, and vehicles owned by the state. Documents may include appraisal fees, damage payments, initial purchase costs, installation fees, legal fees, negotiation fees, site preparation costs (clearing, filling, and leveling), surveying fees, title fees, trade-in allowances, transportation fees and the assumption of any liens, mortgages, or encumbrances on the property or equipment.</p>		Retain at agency three years; successful audit; destroy.	<b>11/20/2013</b>

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<b>GAF-030</b>  (GAF-015 GAF-016 GAF-020 GAF-085)	<b>PROCUREMENTS</b>  <b>Contracts, Agreements, and Leases</b> between state agencies and vendors for the furnishing of goods and professional services to agencies. Includes accounting procedures, bids, books, copy of the contract, correspondence, evaluations, lending agreements, quotes, records of payments made, <b>Requests for Proposals (RFP)</b> , specifications, warranties, or other working papers regarding the service provider that are relevant to the contract.  <b>NOTE:</b> This series does not include <a href="#">Construction Documents For Major And Minor Capital Improvement Projects Contracts</a> (GAF-026).		Retain at agency through life of contract plus three years; successful audit; destroy.	<b>11/20/2013</b>
<b>GAF-031</b>	<b>FEDERAL TAX INFORMATION (FTI) SECURITY RECORDS.</b>  This series documents audit, operational and security controls used to ensure the appropriate access and use of Federal Tax Information (FTI) / Service Management Facilities (SMF) data by authorized state employees. FTI is any tax return or tax return information received from the Internal Revenue Service or secondary source, including but not limited to the Social Security Administration, Federal Office of Child Support Enforcement, Bureau of Fiscal Service, Centers for Medicare and Medicaid Service (CMS), and IRC 6103(p)(2)(B) agreements. FTI also includes any information created by the recipient that is derived from tax return or tax return information.		Retain at agency seven federal fiscal years; successful audit; destroy.  <a href="#">IRS Publication 1075 § 9.3.3.10, 11</a>	<b>08/07/2017</b>

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<p style="text-align: center;"><b>PURGE LIST for</b> <b>GAF-026 <u>CONSTRUCTION DOCUMENTS FOR MAJOR AND MINOR CAPITAL IMPROVEMENT PROJECTS</u></b> (Formerly GAF-034)</p>				
<p><b>The following documents should be PURGED from the permanent file prior to transfer:</b></p> <ul style="list-style-type: none"><li>a. Duplicates.</li><li>b. Advertisement for bid.</li><li>c. Bid bond return.</li><li>d. Correspondence of limited importance.</li><li>e. Financial records such as purchase orders, payment vouchers, and books of account including any significant backup for major capital improvement projects should be transferred using GAF-027; <b>Tax Exempt Bond Funded Major and Minor Capital Improvement Project (CIP) Financial Records</b></li><li>f. Tabulation of bid.</li><li>g. Preliminary schematics.</li><li>h. Preliminary cost estimate.</li><li>i. Working budget.</li></ul>				

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**General Notes:**

1. Delaware Codes used within this Retention Schedule:
  - a. [6 Del. C. Chapter 12A](#) Uniform Electronic Transaction Act
  - b. [29 Del. C. Chapter 5](#) Public Records Law
  - c. [29 Del. C. Chapter 65](#) Budget and Fiscal Regulations for State Agencies
  - d. [29 Del. C. Chapter 94](#) Delaware Real Property Disposition
  - e. [29 Del. C. Chapter 100](#) Freedom of Information Act (FOIA)
2. United States Code/Code of Federal Regulation/Federal Register:
  - a. [2 C.F.R. § 200.333](#) Grants and Agreements: Record Retention and Access
  - b. [2 F.R. 78590](#) CFR Chapter I, Chapter II, Part 200, et al. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Final Rule
  - c. [26 C.F.R.](#) Internal Revenue, Internal Revenue Service 12/26/2013
3. Department of Finance, Division of Accounting, Office of Management and Budget, [Budget and Accounting Policy](#)
4. The State of Delaware utilizes several software programs to support accounting and financial programs:
  - a. First State Financial (FSF): Accounting and Financial reports created in the Department of Finance First State Financial software program and accessed through Document Direct, formerly known as MOBIUS, and are backed up and supported by DTI. First State Financial Accounting System (FSF) Website: <http://extranet.fsf.state.de.us/>. FSF system replaced DFMS Effective 07/01/2010. The majority of these reports are informational only, with the record copy retained within the software system/document direct. These reports are printed from the system primarily for the convenience of the using agency.
  - b. Payroll Human Resource Statewide Technology (PHRST): Documents produced by this program are retained in Document Direct, Envision Reports, and On Demand Documentation, which are backed up and supported by DTI. Payroll Human Resource Statewide Technology (PHRST) reports are located on the PHRST Website: <http://extranet.phrst.state.de.us/default.shtml>
5. Major Capital Improvement Projects are generally used for new facilities, major renovations, and economic development efforts. The projects have estimated costs in excess of \$750,000 and the underlying assets carry a life expectancy of 20 years or more.
6. Minor Capital Improvement Projects are generally used to maintain the efficiency and condition of State-owned facilities and may involve reconstruction, renovations, or equipment purchases. These projects have estimated costs of up to \$750,000 and the underlying assets should carry a life expectancy of 10 years or more.
7. [Real Property and Equipment](#). The retention period for records of real property and equipment items purchased thru federal grant funds begins with the date of the disposition, replacement, or transfer at the direction of the awarding agency.
8. [Retention of Tax-Exempt Bonds](#): 26 C.F.R. Internal Revenue, Internal Revenue Service FAQ regarding Record Retention Requirements (dated 12/01/2004; 6 Pages); Record Retention TEB email from Director of Bond Finance dated 10/9/2013; OMB Compliance Letter email from Director of Accounting and Director of Bond Finance dated 7/19/2011.
9. Internal Revenue Service (IRS) Publication 1075 Tax information Security Guidelines for Federal, State and Local Agencies (September 2014).
10. If any data is necessary to reconstruct the master file or required for audit, it should be listed on an agency approved records retention schedule
11. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.

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12. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
13. If the Data System(s) records that replace the hard copy records have differing retention periods and the software program does not readily permit selective destruction; then delete/destroy the records after the record with the longest retention period has expired.
14. Contingency backup records shall be maintained apart from the master file or data system in a secure offsite facility.
15. A record may not be destroyed before the expiration of its retention period, nor if there is any litigation, claim, negotiation, audit requirement, open record request, administrative review, or other action involving the record while it exists.
16. See also Model Guidelines for Electronic Records on [DPA's policy website](#) for additional guidance concerning the maintenance, and disposition of electronic records.
17. 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. [6 Del. C. § 12A-112.](#)

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<b>GAR-001</b>	<p><b>POLICY AND PROGRAM RECORDS (PRIMARY MISSION FILES)</b></p> <p>Records documenting the formulation and adoption of policies and procedures and the implementation or management of the programs or functions of the office or department. Included are such records as:</p> <p><b>Correspondence (Executive):</b> Correspondence with government officials regarding policy, procedure development, program administration, or enabling legislation;</p> <p><b>Directives:</b> Directives addressed to subordinate units concerning policies, procedures, or programs; and</p> <p><b>Events:</b> Records related to significant events in which the office or department participated. Records may include photographs, published material, audio tapes, and other record forms;</p> <p><b>Mission and Organization:</b> Organizational charts and mission statements;</p> <p><b>Policies and Procedures:</b> Policies and procedures developed by the office or department which govern its operations;</p> <p><b>Reports:</b> Ad hoc, narrative, or statistical reports on program activities, achievements, or plans;</p> <p><b>Studies:</b> Studies regarding office or department operations.</p>		<p>Retain at agency until no longer needed, transfer to Archives for permanent preservation.</p> <p><a href="#">29 Del. C. § 502(7)</a></p>	08/01/2017

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<b>GAR-002</b>  (GAR-003 GAR-004 GAR-005 GAR-023 GAR-024 GAR-026 GAR-027)	<p><b>ADMINISTRATIVE SUPPORT RECORDS</b></p> <p>This series contains records of a general nature that are created or have been received in the course of administering programs. Included are such records as:</p> <p><b>Calendars (Non-Executive):</b> Includes Non-Executive level calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other daily activities of most state employees; Unpublished (i.e. internal) calendars of events and activities;</p> <p><b>Correspondence (Routine):</b> Routine correspondence used in day-to-day office administration and activities. Includes interoffice or interdepartmental communications which do not result in the formulation of policy, or routine correspondence with other offices or departments and the public on matters of a repetitive type;</p> <p><b>Daily, Weekly or Monthly Office Activity Reports:</b> Series includes periodic reports on routine office activities and staff assignments. These reports may be summarized in annual, progress, or statistical reports that are prepared by the office and forwarded to higher levels or to make and track the daily, weekly, or monthly duty assignments for staff;</p> <p><b>Financial Documents:</b> Purchase orders, payment vouchers, travel expense statements or similar financial documents that are only used for support and reference. The official records are retained at the department or division fiscal office;</p> <p><b>Personnel Data:</b> Personnel data retained at the division or section level on office staff used for support and reference. The official records are retained at the department's Human Resources Office.</p> <p><b>Tracking and Control Logs:</b> Series includes control logs, registers, lists, directories, tickler files, etc. used to account for incoming calls, clients, correspondence, entry/exit logs, issuance of equipment and keys, work flow status, etc.</p>	<p><b>SEE RETENTION INSTRUCTIONS</b></p> <p><b>CONFIDENTIAL</b> <a href="#"><u>29 Del. C. § 10002(1)(1)</u></a></p>	<p>Retain at agency 1 year; destroy.</p> <p>Records that could jeopardize the security of any state owned structure, facilitate the planning of a terrorist attack, or endanger the life or physical safety of an individual are to be treated as confidential per <a href="#"><u>29 Del C. § 10002(1)(17)a</u></a></p>	08/01/2017

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<b>GAR-006</b>	<b>FINDING AIDS</b>  Indexes, lists, registers or other aid used to provide access or the location of records in the general records retention schedule or an agency specific retention schedule.		Retain at agency with the related records; destroy or delete when retention period has been met.	
<b>GAR-007A</b>	<b>MINUTES OF OFFICIAL STATE COMMITTEES, COMMISSIONS, BOARDS, COUNCILS AND TASK FORCES</b>  This series documents the official proceedings of state boards, commissions, committees, councils, and task forces. It provides information about the activities of the entity, the actions taken, and the decisions rendered. Minutes include a record of members present and a record of each vote taken, agendas, packets, written testimony and other materials distributed for discussion and/or approval.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. § 10004(f)</u></a>		08/01/2017
<b>GAR-007B</b>	<b>OPEN MEETING MINUTES:</b>  This series documents meeting minutes that are open to the public.		<b>Open Meeting Minutes.</b> Retain 1 copy permanently at the agency; transfer 1 copy to the Archives for permanent preservation.	
<b>GAR-007C</b>	<b>EXECUTIVE SESSION MINUTES:</b>  This series documents meeting minutes that are closed to the public as provided by state law and described in <a href="#"><u>29 Del. C. § 10004(f)</u></a>		<b>Executive Session Minutes.</b> Separate from open minute meetings (GAR-007A) and identify as “Executive Session Minutes and Confidential.” Retain 1 copy permanently at the agency and transfer 1 copy to the Archives for permanent preservation.	
<b>GAR-007C</b>  (GAR-010)	<b>AUDIO AND VIDEO RECORDINGS:</b>  This series documents recordings of minutes that are typically made for note taking or transcription of official meetings or proceedings.  <b>Note:</b> These records have additional reporting requirements; please see also <a href="#"><u>Note #4</u></a> in Agency notes below.		<b>Audio And Video Recordings.</b> Retain at agency 6 months after transcription and approval of minutes; delete, destroy or reuse. If recordings are not transcribed, the recordings become the record copy and should be retained and transferred to the Archives as part of the Open Meeting Minutes of Official State Committees, Commissions, Boards, Councils and Task Forces (GAR-007A), or retained at the agency as per record series Agency Staff and Internal Committee Meetings (GAR-008).	



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<b>GAR-008</b>  (GAR-009)	<b>AGENCY STAFF AND INTERNAL COMMITTEE MEETINGS</b>  This series documents agency staff and internal committee meetings that have no statutory authority to make public policy decisions. It may include agendas, handouts, minutes, decisions rendered, and names of attendees.  <b>Note:</b> Records that formulate policies, procedures or the implementation of programs or functions of the agency should be retained per the retention instructions for GAR-001, Policy and Program Records.		Retain at agency 2 years; destroy.	08/01/2017
<b>GAR-013</b>	<b>ADMINISTRATIVE RULE AND REGULATION RECORDS</b>  This series documents executive branch agencies, boards, commissions, task forces and other entities' proposals to formulate, adopt, amend or repeal administrative standards, rules or regulations used to apply or enforce legislative statutes. This series may include the proposed rules, correspondence, public comment, research materials, and other related material used in their development.  <b>Note:</b> All proposed regulations and supporting documentation must be submitted to the Registrar of Regulations in accordance with the Delaware Administrative Procedures Act (APA).		Retain 1 copy at agency; transfer 1 copy to Archives for permanent preservation.  <a href="#">29 Del. C. § 519</a>  <a href="#">29 Del. C. § 1131</a> , <a href="#">29 Del. C. § 10101</a> , <a href="#">29 Del. C. §§ 10113-10119</a> .	08/01/2017
<b>GAR-014</b>	<b>ANNUAL REPORTS</b>  This series documents comprehensive summaries of agency activities, missions, programs, services, etc. as the administrative history of the agency. These reports are prepared and published at the conclusion of each state fiscal year for the purpose of public distribution.  <b>Note:</b> These records have additional reporting requirements; please see also <a href="#">Note #6</a> in Agency notes below.		Upon publication, transfer a copy to Archives for permanent preservation.  <a href="#">29 Del. C. § 519</a>  <a href="#">29 Del C. § 10003(d)(2)</a>	08/01/2017

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<b>GAR-015</b>  (GAR-012)	<b>AGENCY PUBLICATIONS</b>  Publications produced by state agencies for distribution to other agencies and the public that detail or promote activities, agency history, procedures, programs, regulations, statistical data, etc.		Upon publication, transfer a copy to Archives for permanent preservation.  <a href="#">29 Del. C. § 519</a>	08/01/2017
<b>GAR-016</b>  (GAR-011)	<b>REFERENCE MATERIAL</b>  This series includes state and federal guidelines, publications and other externally generated reference materials that may be used by agencies to aid or support their function or operations. These materials are not critical to agency operations and may consist of books, manuals, pamphlets, periodicals or other publications used by the agency for general reference purposes only.		Retain at agency until no longer needed; destroy or recycle.	08/01/2017
<b>GAR-017</b>	<b>LEGISLATION DEVELOPMENT RECORDS</b>  This series documents agency proposals to formulate, adopt, amend or repeal legislation. This series may include the proposed legislation, correspondence, impact studies, news articles, research materials, working files and other related materials presented to the state legislature.		Retain at agency until no longer needed; destroy.	08/01/2017
<b>GAR-018A</b>	<b>EXECUTIVE ORDERS, PROCLAMATIONS, RESOLUTIONS AND LEGISLATIVE ADVISORIES</b>  This series documents directives and formal announcements issued by the Governor as Chief Executive of the State or by another governing body or organization. The orders give direction on policies and include the date of the directive or announcement, the order or proclamation/resolution number and action taken.  <b>ISSUED BY THE OFFICE OF THE GOVERNOR:</b>  These documents are records created and published by the Office of the Governor.		<b>Issued by the Office of the Governor.</b> Retain at agency until superseded or no longer needed; destroy.	08/01/2017

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<b>GAR-018B</b>	<b>ISSUED BY OTHER GOVERNING BODIES:</b>  These documents are records created and published other governing bodies and organizations within state government.		<b>Issued by other Governing Bodies.</b> Transfer copy to the Archives for permanent preservation.	
<b>GAR-019</b>	<b>LEGAL OPINIONS</b>  This series documents the legal advice and opinions provided to agencies by legal counsel concerning the governance and administration of the state government or any of its departments or subdivisions.	<b>SEE RETENTION INSTRUCTIONS</b>	Replace as superseded by updated opinion, retain at agency permanently.  <b>Confidentiality:</b> Legal opinions may include information protected by attorney-client privilege and may only be disclosed by the authority of the Department's Cabinet Secretary or their designee.	08/01/2017
<b>GAR-020</b>	<b>PUBLIC RELATIONS RECORDS</b>  This series documents the official release of information to the media informing the public of events and actions. Includes press and news releases issued by the agency, transcripts, speeches, and other similar records.		Retain at agency until no longer needed; transfer to Archives for permanent preservation.	08/01/2017
<b>GAR-021</b>	<b>AFFIDAVITS OF PUBLICATION</b>  This series documents the publication of legal notices on matters pertaining to the agency such as bid invitations, public hearings or notices, public sales, etc. Records may include proofs and notice of notarized certificates, copy of the newspaper advertisement or publication and should be included with the records series to which it applies.  <b>Note:</b> See the State General Accounting and Finance Retention Schedule: Construction Documents For Major And Minor Capital Improvement Projects (CIP) for retention instructions regarding construction project advertisements.		Retain at agency 2 years; destroy.	08/01/2017

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<b>GAR-022A</b>	<b>SPEECHES</b>  Public speeches given by representatives of state agencies.  <b>GENERAL INFORMATION SPEECHES:</b>  Speeches and presentations relating to general information about the agency.		<b>General Information Speeches.</b> Retain at agency; replace as updated.	
<b>GAR-022B</b>	<b>POLICY, PROCEDURAL, OR ACTIVITY SPEECHES:</b>  Speeches or presentations relating to activities, issues, policies, or procedures of state government.		<b>Policy, Procedural, or Activity Speeches.</b> Retain at agency 2 years; transfer to Archives for permanent preservation.	
<b>GAR-025</b>	<b>INCIDENT REPORTS</b>  This series documents accidents or incidents that occur at state agencies or facilities where the state might be liable for damages. This records series is used for situations that do not involve state employees.		Retain at agency 3 years; destroy.	08/01/2017
<b>GAR-028</b>	<b>DEEDS TO STATE PROPERTY</b>  This series contains the documents used to establish the state's legal title to real property.  See also State General Accounting and Finance retention schedule for record series: Deeds of Land Acquisition (GAF-026C).		Retain a copy at the agency; transfer the original record to Archives for permanent preservation.  <a href="#"><u>29 Del. C. § 508</u></a>	
<b>GAR-029</b>	<b>SURVEYS/MAPS</b>  Materials relating to surveying and mapping activities used in locating, marking, or the erection of boundaries, property lines, corners, monuments, markers, or road placements. Includes aerial photographs and reproductions.		Retain at agency until no longer needed; transfer to Archives for permanent preservation.	

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<b>GAR-030</b>	<p><b>ARCHITECTURAL AND ENGINEERING PLANS/BLEUPRINTS</b></p> <p>As-built drawings and specifications of buildings and other public works built on state-owned property, including alterations. See also the State General Accounting and Finance Retention Schedule: Construction Documents For Major And Minor Capital Improvement Projects (CIP) for retention instructions regarding construction project advertisements.</p> <p>See also State General Accounting and Finance retention schedule for the record series: Archival As Built (GAF-026D).</p>	<p><b>CONFIDENTIAL</b></p> <p><a href="#">29 Del C. § 10002(l)(17)a</a></p>	<p>Retain at agency until no longer needed; transfer to Archives for permanent preservation.</p> <p><a href="#">29 Del. C. § 507</a></p>	
<p><b>GAR-031</b></p> <p>(GAR-032 GAR-033)</p>	<p><b>EQUIPMENT AND VEHICLE MAINTENANCE AND OPERATION RECORDS</b></p> <p>This series documents the service, repair and warranties for equipment and vehicles owned and leased by state agencies. Records include warranties and warranty extensions, guarantee statements, operating and safety manuals, information on fuel and oil consumption, dispatch records, repairs and maintenance orders and logs, work orders, cost of parts and labor, etc.</p>		<p>Retain at agency until transfer, sale, or surplus of equipment/vehicle; destroy.</p>	08/01/2017
<b>GAR-034A</b>	<p><b>RECORDS MANAGEMENT RECORDS</b></p> <p>This series document an agency's records management program.</p> <p><b>RECORDS RETENTION SCHEDULES:</b></p> <p>This series identifies records created and maintained by an agency and provides the minimum retention requirements and instructions on their final disposition. This includes Agency Specific and General Records Retention Schedules.</p>		<p>The Archives retains the record copies of Retention Schedules, Destruction Notices, Transfer Documents, Record Series Inventory Forms, record management policies and program records for permanent preservation.</p> <p><b>Records Retention Schedules.</b> Retain at agency; replace as updated.</p> <p><a href="#">29 Del. C. § 524</a></p>	

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<b>GAR-034B</b>	<b>DESTRUCTION NOTICES:</b>		<b>Destruction Notices.</b> Retain copy at agency permanently.	08/01/2017
(GAR-034C)	This series documents the destruction of records that have been approved by the State Archivist of the Delaware Public Archives. The destruction notice includes the name of the Records Officer/Authorized Agent, series number, series title, the date span and volume of records and the method of destruction.			
<b>GAR-034C</b>	<b>TRANSFER DOCUMENTS:</b>		<b>Transfer Documents.</b> Retain copy at agency permanently.	08/01/2017
(GAR-034D)	This series documents the transfer of records from the agency to the Delaware Public Archives. The transfer document is completed by the agency's records officer and specifies the records that are being transferred by series number, title and date span. Included is the content list, which serves as a finding aid and provides information regarding the location of records, should their retrieval be necessary.		<a href="#">29 Del. C. § 512</a>	
<b>GAR-034D</b>	<b>RECORD SERIES INVENTORY FORMS:</b>	<b>CONFIDENTIAL</b>	<b>Record Series Inventory Forms.</b> Retain copy at agency permanently.	08/01/2017
(GAR-034E)	This series documents records used to create or modify a record series in an Agency Specific or General Records Retention Schedule. This series may include an appraisal form, supporting documentation, correspondence and other related material.		<a href="#">29 Del. C. § 524</a>	
<b>GAR-034E</b>	<b>RECORD SERVICES FORM:</b>		<b>Record Services Form.</b> Retain at Agency 5 years; Destroy.	08/01/2017
	This series documents retrieval requests for records previously transferred by the agency that are stored at the State Records Center or other facility for temporary storage. This form is completed by the agency's Records Officer/Authorized Agent and may contain personally identifiable information to identify a record. Included is the name of the agency, department, and section; the location and method in which the records are to be delivered; name of record(s) requested; the box and barcode number.	<a href="#">29 Del. C. §10002(1)(1)</a>  <a href="#">29 Del. C. §10002(1)(6)</a>	<b>NOTE:</b> Record Service Forms may contain Personally Identifiable Information or other information that is confidential and should be redacted prior to service.	

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<b>GAR-034F</b>	<b>RECORDS OFFICER AND AUTHORIZED AGENT APPOINTMENT FORMS:</b>  This series documents an agency's annual appointment of their Records Officer/Authorized Agent in accordance with state statute. This series includes the name of the agency, department, division; the first and last name of the Records Officer/Authorized Agent and their job title, phone number and email address.		<b>Records Officer and Authorized Agent Appointment Forms.</b> Retain at Agency 3 years; Destroy  <a href="#">29 Del. C. § 521</a>	08/01/2017
<b>GAR-035</b>	<b>FORMS DEVELOPMENT RECORDS</b>  This series documents records relating to the design, creation, and revision of agency forms. This series may include sample forms, drafts, revisions, approvals, and other related information.		Retain at agency until no longer need; destroy.	
<b>GAR-036</b>	<b>PHOTOGRAPHS</b>  This series includes photographs that document an agency's mission, programs, or significant events in which the agency participated, such as anniversaries, awards ceremonies, dedications, inaugural events, etc. that were not included with the record series for <a href="#">Policy and Program Records</a> (GAR-001) or from <a href="#">Public Relations Records</a> (GAR-020).  Do not separate photographs from Policy and Program Records or Public Relations files as it may cause the loss of historical information of the activity or items, persons or places captured in the photographs.		Retain at agency until no longer needed; transfer to Archives for permanent preservation.	08/01/2017
<b>GAR-037</b>	<b>GRAPHIC ARTS RECORDS</b>  This series documents the design, creation, and revision of agency artwork for use in creating handbills, flyers, posters, letterhead, graphs, charts, etc.		Retain at agency until no longer needed; destroy.	08/01/2017

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RECORD SERIES #	RECORD SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
	<b>MOTION PICTURES, VIDEO AND SOUND RECORDINGS</b>			08/01/2017
<b>GAR-038A</b>	<b>EXTERNAL RECORDINGS:</b>  Films/recordings acquired from outside sources for personnel and management training, training rehearsals or practice tape, recordings of meetings that do not create or shape policy, award presentations, duplicated prints and preprinted elements required for preservation and reference.		<b>External Recordings.</b> Retain at agency until superseded or no longer needed; destroy. (See GAR-043; <a href="#">Agency Training Program Files</a> )	
<b>GAR-038B</b>	<b>INTERNAL RECORDINGS:</b>  Films/recordings created by the agency for personnel and administrative training programs that do not reflect the mission of the agency. These include "role-play" sessions, management and supervisory instruction, etc.		<b>Internal Recordings.</b> Retain at agency 3 years after completion of training program; destroy. (See GAR-043; <a href="#">Agency Training Program Files</a> )	
<b>GAR-038C</b>	<b>FILMS/RECORDINGS:</b>  Films/recordings that document an agency's mission, programs, or significant events in which the agency participated that were not included with record series for <a href="#">Policy and Program Records</a> (GAR-001) or from <a href="#">Public Relations Files</a> (GAR-020).		<b>Films/recordings.</b> Retain at agency until no longer needed; transfer to Archives for permanent preservation.	
<b>GAR-038D</b>	<b>SECURITY SURVEILLANCE RECORDINGS:</b>  Audio/Video recordings that monitor activities in and around state government facilities or public buildings. The recordings are used as a security measure in the identification of persons who cause disturbances or violate laws. Systems may be continuous, stop frame, random or triggered by an event or operator and may contain date and time indexing information. This series does not apply to inmate intake or booking videos at law enforcement or correctional facilities.	<b>CONFIDENTIAL</b>  <a href="#">29 Del. C. § 10002(l)(17)a</a>	<b>Security Monitoring Recordings.</b> Retain at agency 30 days or for the maximum length of time allowed by the recording system if it is longer; destroy or reuse.  <b>Note:</b> Retain incident videos until all investigations or litigation involving the recordings are completed.	08/01/2017



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RECORD SERIES #	RECORD SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
	<b>DISASTER PLANNING AND RECOVERY RECORDS</b>			08/01/2017
<b>GAR-039A</b>	<b>PLANNING AND RECOVERY RECORDS:</b>  This series documents an agency's Continuity of Operations (COOP) Plan and other internal emergency action plans that are to be implemented during and following an emergency or disaster. Also includes records of the agency's response during actual disasters.	<b>CONFIDENTIAL</b>  <a href="#">29 Del. C. § 10002(1)(17)a</a>	<b>Planning and Recovery Records.</b> Retain at agency permanently and update plans as needed; transfer copy to the Archives for permanent preservation.	
<b>GAR-039B</b>	<b>SAFETY DRILLS/DISASTER RECOVERY EXERCISES:</b>  This series includes records relating to agency fire, safety and disaster recovery drills and exercises.	<b>CONFIDENTIAL</b>  <a href="#">29 Del. C. § 10002(1)(17)a</a>	<b>Safety drills/disaster recovery exercises.</b> Retain at agency 4 years, destroy.  <a href="#">1 Del. Admin Code § 705 3.1</a>	
	<b>FREEDOM OF INFORMATION ACT (FOIA) RECORDS</b>			08/01/2017
<b>GAR-040A</b>  (GAR-040A GAR-040B GAR-040C GAR-040E)	<b>REQUEST AND RESPONSE RECORDS:</b>  This series documents requests from the public and the agency's response for access to public records in accordance with the state Freedom of Information Act. This series includes the original request, the agency's response (approval and denial), supporting documentation, such as a list of records provided in response to the request, records, or portions of records that were withheld, information redacted and records that are non-existent.  See Note 7 regarding <a href="#">FOIA requests for federal records</a> maintained at state agencies.		<b>Request and Response Records.</b> Retain at agency 3 years after date of reply, final action by the agency or final adjudication by the courts, whichever is later; destroy.  <a href="#">29 Del. C. c. 100</a>	
<b>GAR-040B</b>  (GAR-040F)	<b>CONTROL LOG RECORDS:</b>  Records maintained to track the agency's response to requests. This series may include registers and similar records documenting the requestors' contact information, the date the agency received the request, the agency's response deadline and date of response, reasons for any extension, the names, contact information and dates of correspondence with individuals contacted in connection with requests, the dates and names of individuals conducting the agency review, whether documents were made available, the amount of fees assessed, and final disposition date.		<b>Control Log Records.</b> Retain at agency 5 years after last entry, 5 years after final action by the agency or final adjudication by the courts, whichever is later; destroy.	08/01/2017

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RECORD SERIES #	RECORD SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
	<p><b>APPOINTMENT RECORDS</b></p> <p>This series documents appointments of persons to committees, commissions, task forces and other advisory groups. Series may include applications, letters of recommendation, letters of appointment, resumes, letters of resignation or removal and related correspondence. This series does not replace the appointments submitted by the Office of the Governor as part of the Governor's Register (GOV-003).</p>			08/01/2017
<b>GAR-042A</b>	<p><b>APPOINTMENTS REFLECTED IN MINUTES:</b></p> <p>Official appointments that have been recorded in the <a href="#">Minutes Of Official State Committees, Commissions, Boards, Councils and Task Forces</a> (GAR-007).</p>		<b>Appointment Reflected in Minutes.</b> Retain at agency 2 years after expiration of term; destroy.	
<b>GAR-042B</b>	<p><b>APPOINTMENTS NOT REFLECTED IN MINUTES:</b></p> <p>Official appointments that were <b>not</b> captured in the recorded <a href="#">Minutes Of Official State Committees, Commissions, Boards, Councils and Task Forces</a> (GAR-007).</p>		<b>Appointment Not Reflected in Minutes.</b> Retain at agency until no longer needed; transfer to Archives for permanent preservation.	
<b>GAR-042C</b>	<p><b>APPLICATIONS:</b></p> <p>Documents the appointment applications of persons to committees, commissions, task forces and other advisory groups.</p>		<b>Applications.</b> Retain at agency 2 years after conclusion of appointment process; destroy.	
<b>GAR-042D</b>	<p><b>RESIGNATION AND REMOVAL LETTERS:</b></p> <p>Documents the resignation or removal of persons from committees, commissions, task forces and other advisory groups.</p>		<b>Resignation And Removal Letters.</b> Retain at agency until no longer needed; transfer to Archives for permanent preservation.	

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	<b>AGENCY TRAINING PROGRAM RECORDS</b>		The retention of these records must meet the minimum requirements set forth by any applicable state or federal grant agreement, regulation, statute or by any professional organization certification standards used by the state agency to set employment standards.	08/01/2017
<b>GAR-043A</b>	<b>TRAINING PROGRAM RECORDS:</b>  This series documents training courses or programs conducted by state government personnel for state or local government agencies. This series does not include presentations to the public, community groups, or the training programs provided by the Office of Management and Budget, Statewide Training and Development. This series may contain evaluations, exercises, handouts, lesson plans, list of attendees, presentations, "role play" sessions, training aids, tests, videos and other related course materials.		<b>Training program records.</b> Retain at agency 3 years; destroy.	
<b>GAR-043B</b>	<b>TRAINING CERTIFICATION RECORDS:</b>  This series documents training received for certifications, licenses and On-the-Job training that are required for state agencies and their employees. The files may contain record of continuing education credits, correspondence, diplomas, examination scores, official transcripts and other support information.		<b>Training Certification Records.</b> Retain one previous set of certification records and current recertification records at agency; destroy.  A copy of an employee's certification record is to be included in their Personnel File, Departmental (GPR-005 State General Personnel Retention Schedule).	08/01/2017
<b>GAR-044</b>	<b>AGENCY PROPERTY INVENTORY RECORDS</b>  This series documents records relating to inventories of buildings, real estate, equipment, furniture, vehicles, and other capital assets. Information may include asset number, description, location of asset, date received/purchased, purchase price, and other related information.		Retain at agency 3 years; destroy.	08/01/2017

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<b>GAR-045</b>	<b>POSTAL RECORDS</b>  This series documents the agency's incoming and outgoing mail (letters, packages, etc.). Information may include certified and return mail receipts, signed pick-up and delivery receipts, insured mail receipts, loss reports, and similar information.		Retain at agency 2 years; destroy.	08/01/2017
<b>GAR-046</b>	<b>LITIGATION RECORDS</b>  This series documents litigation cases involving the agency. Information includes, but is not limited to court records and legal documents, notes, reports, background material, research material, correspondence, communications, and other documents relating to the case.	<b>CONFIDENTIAL</b>  <a href="#"><u>29 Del. C. §10002(1)(1)</u></a>  <a href="#"><u>29 Del. C. §10002(1)(6)</u></a>  <a href="#"><u>29 Del. C. §10002(1)(9)</u></a>	Retain at agency 10 years after the close of the case; destroy.	08/01/2017

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**Agency Notes:**

1. Delaware Codes used within this Retention Schedule:
  - a. [6 Del. C. Chapter 12A](#), Uniform Electronic Transaction Act
  - b. [29 Del. C. Chapter 5](#) Public Records Law
  - c. [29 Del. C. Chapter 59](#), Merit System of Personnel Administration
  - d. [29 Del. C. Chapter 100](#) Freedom of Information Act (FOIA)
2. Delaware Administrative Code:
  - a. [1 Del. Admin C.](#) Authorities, Boards and Commissions Del. Administrative Code
  - b. [8 Del. Admin C.](#) Public Information
  - c. [19 Del. Admin C.](#) Labor
3. Executive Orders from the Governor of the State of Delaware may be accessed from the Governor's Website.
4. [Official Minutes](#). All public bodies in the executive branch of state government that are subject to the provisions of [29 Del. C. §10004 \(f\)](#) shall electronically post final approved minutes of open public meetings (GAR-007A) to <http://egov.delaware.gov/pmc/> within 5 working days of final approval of said minutes.
5. [Rules and Regulations](#): Agencies are also required to submit rules and regulations to Registrar of Regulations per requirements of [29 Del. C. §10115](#).
6. [Annual Reports](#). As of January 1, 2015, all public bodies in the executive branch of state government that are subject to the provisions of [29 Del. C. § 10003 \(d\)\(2\)](#) or other regulation or established policy, that are required to publish an annual or biennial report, shall also electronically post copies of these reports to a single designated State website approved by the Secretary of State, this does not absolve the agency of the responsibility to transfer the records to the archives for permanent preservation.
7. [Freedom of Information Requests](#). Agencies may maintain federal and state records; therefore, the agency is required to follow state as well as federal FOIA laws.
8. A record may not be destroyed before the expiration of its retention period, or if there is an administrative review, audit, claim, litigation, negotiation, open record request or other action involving the record while it exists.
9. 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.
10. The retention of electronic records is satisfied by retaining an electronic document 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. Unless a law enacted after July 14, 2000, specifically prohibits the use of an electronic record for the specified purpose, a record retained electronically satisfies a law requiring a person to retain a record for evidentiary, audit, or like purposes. [6, Del. C. § 12A-112](#)

**STATE AGENCY GENERAL RECORDS RETENTION SCHEDULE**  
**ELECTRONIC RECORDS**  
Revised 2011

<b>SERIES NO.</b>	<b>SERIES TITLE AND DESCRIPTION</b>	<b>CONF.</b>	<b>TOTAL RETENTION</b>	<b>RETENTION INSTRUCTIONS</b>
<b>GER-001</b>	<b>MASTER FILES / MASTER RECORDS</b>  Relatively permanent computer files containing an organized, consistent set of records of complete and accurate information. Usually referred to as a data system or record-keeping system.		<b>SEE RETENTION INSTRUCTIONS</b>	Maintain at agency. Delete after expiration of the retention period as authorized by an approved retention schedule.  NOTE: If data system replaces hard copy records with differing retention periods, and agency software does not readily permit selective deletion, delete after the longest retention period has expired.
<b>GER-002</b>	<b>RECORDS USED TO CREATE AND MAINTAIN MASTER FILES / RECORDS</b>  Records recorded on electronic media used to create or update a master file, including, but not limited to, work files, transaction files, and intermediate input/output records.		<b>SEE RETENTION INSTRUCTIONS</b>	Delete after information has been transferred to the master file and verified.  NOTE: If this data is necessary to reconstruct the master file or required for audit, it should be listed on an agency approved records retention schedule.
<b>GER-003</b>	<b>TEST RECORDS</b>  Electronic files or reports created in the monitoring and testing of system quality and performance.		<b>SEE RETENTION INSTRUCTIONS</b>	Delete/destroy after test is evaluated, and all problems or issues are resolved.
<b>GER-004</b>	<b>PRINT RECORDS</b>  Records extracted from a data file without changing values, often producing hard copy publications, tabulations, ledgers, registers and reports.		<b>SEE RETENTION INSTRUCTIONS</b>	Delete/destroy when no longer needed.
<b>GER-005</b>	<b>CONTINGENCY BACKUP RECORDS</b>  Electronic media containing data identical to primary electronic files and retained in case they are damaged or lost.		<b>MINIMUM OF THREE CYCLES</b>	Maintain a minimum of 3 cycles.  NOTE: Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
<b>GER-006</b>	<b>WORD PROCESSING AND ELECTRONIC MAIL RECORDS</b>		<b>DELETED 10/01/1999</b>	Replaced by GER-014 and 015.
<b>GER-007</b>	<b>ELECTRONIC SPREADSHEETS</b>		<b>DELETED 10/01/1999</b>	Replaced by GER-014.

**STATE AGENCY GENERAL RECORDS RETENTION SCHEDULE**  
**ELECTRONIC RECORDS**  
Revised 2011

<b>GER-008</b>	<b>SYSTEMS USAGE RECORDS</b>  Electronic files created to monitor system usage, including but not limited to, log-in files, password files, audit trail files, and cost-back files used to assess charges for system use.		<b>THREE YEARS; SUCCESSFUL AUDIT</b>	<b>Retain at agency 3 yrs; successful audit; delete/destroy.</b>
<b>GER-009</b>	<b>SYSTEMS PERFORMANCE RECORDS</b>		<b>DELETED 01/01/1999</b>	<b>Incorporated into GER-003.</b>
<b>GER-010</b>	<b>PLANNING, DEVELOPMENT AND EVALUATION RECORDS</b>  Consist of planning, development, and evaluation records relating to selection (including feasibility studies and materials supporting decision); implementation; upgrading, modification, or conversion of systems and equipment; procedures; and manuals pertaining to the acquisition and use of electronic record-keeping systems.		<b>SEE RETENTION INSTRUCTIONS</b>	<b>Retain at agency 1 yr after longest retention for information maintained on system has expired, or 1 yr after successful migration of data to new system; destroy.</b>
<b>GER-011</b>	<b>SYSTEMS DOCUMENTATION</b>  File consists of record layouts; code books; technical specifications; programs and equipment; detailed program descriptions; flow charts; test data; job control language; computer operating instructions; and other records pertaining to systems operation.		<b>SEE RETENTION INSTRUCTIONS</b>	<b>Retain at agency 1 yr after longest retention for information maintained on system has expired, or 1 yr after successful migration of data to new system; destroy.</b>
<b>GER-012</b>	<b>FEASIBILITY STUDIES</b>		<b>DELETED 08/01/2011</b>	<b>Incorporated into GER-010.</b>
<b>GER-013</b>	<b>Y2K (YEAR 2000) FILES</b>		<b>DELETED 03/01/2009</b>	

**STATE AGENCY GENERAL RECORDS RETENTION SCHEDULE**  
**ELECTRONIC RECORDS**  
 Revised 2011

<b>GER-014</b>	<b>ELECTRONIC DATA RECORDS</b>  Documents (letters, memoranda, reports, directives, etc.), databases, spreadsheets, Geographic Information System (GIS) data, or other records recorded on any type of electronic media.			Retention of electronic data records, regardless of media, is exactly the same as the retention would be if the records were maintained in hard copy.  <i>NOTE: See also Model Guidelines for Electronic Records on DPA's website for additional guidance and recommendations concerning the creation, maintenance, and disposition of electronic records.</i>
<b>GER-015</b>	<b>ELECTRONIC MAIL</b>  Text documents and attachments stored on electronic media containing communicated messages, such as correspondence, memoranda, and circular letters.		<b>SEE RETENTION INSTRUCTIONS</b>	See <i>Electronic Mail</i> policy on DPA's website for retention recommendations.
<b>GER-016</b>	<b>WEBSITE RECORDS</b>  Collections of information, documents, and databases that are provided to a user community utilizing World Wide Web formats and protocols.		<b>SEE RETENTION INSTRUCTIONS</b>	See <i>Guidelines for Maintaining and Preserving Records of Web-Based Activities</i> on DPA's website for retention recommendations.
<b>GER-017</b>	<b>SOCIAL MEDIA</b>  Data posted or published to publically available websites such as Facebook, Twitter, YouTube, etc. Used for information distribution and education.		<b>UPDATE AS NEEDED</b>	Maintain at agency; update as needed.



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PERSONNEL RECORDS

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<b>GPR-001</b>	<b>UNSUCCESSFUL APPLICATIONS FOR EMPLOYMENT</b>  This series documents applications submitted by individuals that were not selected for employment. This series may contain DD214s, interview notes, letters of commendation or recommendation, resumes, selection criteria, tests and rankings, and transcripts.	<b>CONFIDENTIAL</b>	Retain at agency 3 years or until the final disposition of any legal action, whichever is later; destroy.  <a href="#">29 C.F.R. § 1602.31</a> <a href="#">29 C.F.R. § 1627.3(b)(I)</a> <a href="#">19 Del. Admin. C. § 3001-8.6</a>  <b>NOTE:</b> Applications of persons hired by an agency should be retained in the Personnel Record, Departmental (GPR-005).	05/02/2019
<b>GPR-002</b>	<b>JOB ANNOUNCEMENT POSTINGS</b>  This series documents notices of existing or anticipated job openings within an agency. This series may include a description of the position, qualifications, salary, job location, and opening and closing dates.		Retain at agency 1 year from the date position is filled; destroy.  <a href="#">29 C.F.R. § 1627.3 (b)(1)(vi)</a>	06/08/2016
<b>GPR-003</b> (GPR-005E)	<b>REFERRAL LISTS (RECRUITMENT LISTINGS AND CERTIFICATION LISTS)</b>  This record may also be known as a certification, hiring or recruitment list and documents applicants who met the minimum requirements and are eligible for a position in state service. This series may contain the name of the candidate, examination grade and ranking if applicable.		Retain at agency 3 years or until the final disposition of any legal action, whichever is later; destroy.  <a href="#">29 C.F.R. § 1627.3(b)(1)(iii)</a> <a href="#">19 Del. Admin. C. § 3000-8.6</a>	06/08/2016
<b>GPR-004</b>	<b>LISTING OF AUTHORIZED POSITIONS (LAP)</b>		Series is obsolete as Human Resources maintain the originals	05/05/2019

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<b>GPR-005</b> (GPR-005A) (GPR-005D) (GPR-005G)	<p><b>PERSONNEL RECORD, DEPARTMENTAL</b></p> <p>The Departmental Personnel Record is the primary record of each fulltime, paid intern and casual/seasonal employee. It is the responsibility of each agency's appointing authority to establish and maintain records that document the employment history. The personnel record may be divided into sub-files if the agency determines subdivision appropriate. Sub-files will meet the standards in the schedule, including but not limited to the below. Documents are filed in chronological order with most recent documents on top.</p> <p><b><u>PERSONNEL FILE:</u></b> This sub-file contains personal data changes, address, emergency contact information, leave audits, donated leave provider forms, time cards, awards/commendations, certificates, educational credits, transcripts, training certifications, hazardous chemical training records, professional licenses, applications, resumes, layoffs, orientation records, personnel action requests, promotions, demotions, active discipline, oaths of office, rates of compensation, records of military service, tests/examinations, record of classification(s), title of positions held, transfers, employment/wage verifications, Verification of Service (VS1), signed policy acknowledgments, employee user agreements, confidentiality statements, Authorized Driver Designation, Education and Tuition Reimbursements. The file also contains employee performance plans, duties, supervisor expectations, interim and final evaluation performance reports, Payroll Human Resource Statewide Technology (PHRST) transactions such as payroll authorizations and deductions, Pension Actuarial information (P-1), direct deposit information, union dues, and W-2/W-4 processing.</p> <p><b><u>ADMINISTRATIVE FILE:</u></b> This sub-file documents administrative information such as personal and professional references, Criminal Background Checks, I-9 Employment Eligibility Verification, Copy of Driver's License, Garnishment/Wage Attachments and inactive Discipline.</p>	<b>CONFIDENTIAL</b>	<p>Retain at agency 3 years after separation of employment; purge per approved purge list; transfer to the State Records Center for 47 years; destroy.</p> <p><a href="#">19 Del. Admin C. § 3001-17.0</a>  <a href="#">29 Del. C. § 5903(17)a</a>  <a href="#">29 C.F.R. § 516.5</a>  <a href="#">29 C.F.R. § 516.6</a>  <a href="#">Merit Rule 16</a></p> <p>Please refer to the State of Delaware Department of Human Resources' (or its successor department)</p> <p><b>NOTES:</b> Grievances (GPR-007), Criminal History Record Information (GPR-023), I-9 Employment Eligibility Verification (GPR-024), Garnishment/Wage Attachment (GPR-026), Performance Review and Plan (GPR-027) and Employee Medical Records (GPR-020) are to be maintained separately from the Departmental Personnel Record and destroyed according to the retention schedule series instructions.</p>	05/02/2019 11/29/2022

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<b>GPR-006</b>	<b>PERSONNEL RECORD, SUB-DEPARTMENTAL</b>  The sub-departmental personnel record is a duplicate of the Personnel Record, Departmental (GPR-005) and is maintained at the subunit level (e.g., division), as a working record. The series may contain copies of awards, commendations, correspondence, disciplinary actions, reports, education authorizations, employment applications, evaluations, performance plans, personnel actions, orientation, position description, training, etc.	<b>CONFIDENTIAL</b>	Retain at agency until separation of employment, transfer to the agency's Human Resources Office for comparison and purging.	05/02/2019
<b>GPR-007</b>	<b>GRIEVANCES</b>  This series documents grievances filed by employees. This series 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.	<b>CONFIDENTIAL</b>	Retain at agency 10 years after final disposition or resolution of grievance; destroy.  <a href="#">29 Del. C. § 5938</a> <a href="#">29 Del. C. § 5931</a> <a href="#">19 Del. Admin. C. § 3001-19.0</a> <a href="#">84 F.R. 18070</a> <a href="#">Merit Rule 18</a> <a href="#">Merit Rule 2</a>  <b>NOTE:</b> Grievances are not retained in the Personnel Record, Departmental (GPR-005).	05/02/2019
<b>GPR-008</b> (GPR-009) (GPR-010)	<b>POSITION CLASSIFICATION AND HISTORY RECORDS (CLASS HISTORY FOLDERS)</b>  This series, also referred to as Budgeted Position (BP) files, is used to establish or reclassify a position. It may contain forms used to identify the position, title, code, characteristics, duties, responsibilities, qualifications, skills, knowledge and abilities within the class and paygrade, analyst notes, agency comments, and other descriptive reports or support documents.		Retain at agency 3 years: destroy.  <a href="#">19 Del. Admin. C. § 3001-4.0</a>  <b>NOTE:</b> The Department of Human Resources retains the original record of this series permanently.	05/02/2019 11/29/2022
<b>GPR-009</b>	<b>POSITION HISTORY FILES</b>		Combined into GPR-008	05/02/2019
<b>GPR-010</b>	<b>PAR-1 FILES</b>		Combined into GPR-008	05/02/2019

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<b>GPR-011</b> (GPR-005B) (GPR-005C)	<b>TIME ENTRY RECORDS (ATTENDANCE SHEETS; TIME ENTRY REPORTS)</b>  This series documents time reported on a daily basis, which is used to produce the salary of an employee during one pay period for work performed. This series may contain the pay period ending date, number of administrative units, employee name, identification number, dates of activity, regular hours work, overtime hours worked, leave without pay, signature of employee, signature of supervisor, etc.	<b>CONFIDENTIAL</b>	Retain at agency 3 years; successful audit; destroy.  <a href="#">10 Del. C. § 8111</a> <a href="#">29 Del. C. § 5943</a> <a href="#">29 C.F.R. § 516.5</a> <a href="#">29 C.F.R. § 1627.3</a> <a href="#">29 C.F.R. § 1602.30</a>	06/08/2016 05/02/2019
<b>GPR-012A</b>	<b>AFFIRMATIVE ACTION PLANS AND REPORTS</b>  <b>PROGRAM PLANS AND REPORTS:</b> This series documents the State's participation in the various federal and state equal employment opportunity/affirmative action programs. This series includes facility accessibility records, statistical data, plans and reports (EEO-1/EEO-4) required by federal statute.	<b>CONFIDENTIAL</b>	<b>A. PROGRAM PLANS AND REPORTS:</b> Retain at agency 5 federal fiscal years; destroy.  <a href="#">29 C.F.R. § 1602.7</a> <a href="#">29 CFR § 1602.30</a> <a href="#">29 C.F.R. § 1602.31</a> <a href="#">29 C.F.R. § 1602.32</a>  <b>NOTE:</b> Record copy of this series is maintained at the Department of Human Resources.	05/02/2019
<b>GPR-012B</b> (GPR-001A)	<b>EQUAL OPPORTUNITY COMPLAINT FILES:</b> This series documents complaints of discrimination, harassment, and other workplace conditions filed with the agency, Delaware Department of Labor (DDOL) or the Federal Equal Opportunity Commission (EEOC). This series contains the initial supporting documentation, information presented by any party involved in the investigation, investigative actions, determinations, and appeals.		<b>B. EQUAL OPPORTUNITY COMPLAINT FILES:</b> Retain at agency 4 years after resolution of case; destroy.  <a href="#">29 C.F.R. § 1602.14</a> <a href="#">29 C.F.R. § 1602.30</a> <a href="#">29 C.F.R. § 1602.31</a> <a href="#">29 C.F.R. § 1602.32</a>  <b>NOTE:</b> Record copy of this series is maintained at the Department of Human Resources, Labor Relations Division.	05/02/2019

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<b>GPR-013</b>	<b>COLLECTIVE BARGAINING RECORDS</b>  This series documents contracts and negotiations with bargaining units. This series may contain amendments, contracts, extensions, notices, proposals/counter proposals, correspondence, and other related information.	<b>CONFIDENTIAL</b>	Retain at agency for duration of contract plus 3 years; destroy.  <a href="#">29 C.F.R. § 516.5</a>  <b>NOTE:</b> Record copy of this series is maintained at the Department of Human Resources, Labor Relations Division. Actual labor negotiations and collective bargaining are confidential.	05/02/2019
<b>GPR-014</b>	<b>EMPLOYEE IDENTIFICATION BADGES / CARDS</b>  This series includes identification badges, cards, or other issued items used to provide proof of employment with a state agency. These items may show the employee's name, agency, job title, and picture.		Retrieve from employee upon separation of employment; destroy.	06/08/2016
<b>GPR-015</b> (GPR-016)	<b>WORKERS' COMPENSATION RECORDS (WORKERS COMPENSATION FILES AND FIRST REPORT OF OCCUPATIONAL INJURY OR DISEASE)</b>  This series documents incidents when state employees suffer an injury/illness while on the job or in the line of duty. These records may include the First Report of Occupational Injury or Illness, Physician Reports, Employer's Responses, vehicle accident reports, invoices, police reports, payment indemnity reports, and other correspondence.	<b>CONFIDENTIAL</b>	Retain at agency until separation from state service or transfer to another state agency; merge into Employee Medical Record (GPR-020).  <a href="#">19 Del. C. § 2361</a> <a href="#">45 C.F.R. § 164.512</a>  <b>NOTE:</b> The Department of Labor, Division of Industrial Affairs retains Workers Compensation claims for 75 years.	05/02/2019
<b>GPR-016</b>	<b>FIRST REPORT OF OCCUPATIONAL INJURY OR DISEASE</b>		Combined into GPR-015	

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GPR-017	<p><b>SAFETY DATA SHEETS (SDS) (MATERIAL SAFETY DATA SHEETS (MSDS))</b></p> <p>This series is used to document every hazardous chemical used, stored or generated at each state facility/work location. These records are required by the state's "Hazardous Chemical Information Act," and by the federal Occupational Safety and Health Administration. In addition to identifying the hazardous chemicals located at a work location, they also provide employees with information on safe handling instructions, required safety equipment and first aid measures. Information on the Safety Data Sheets includes the chemical identification, physical and chemical properties, composition and information on ingredients, stability and reactivity, first-aid measures, firefighting measures, accidental release measures, handling and storage, exposure controls/personal protection, ecological and toxicology information, regulatory and transportation information, disposal considerations, date of preparation or last revision of the SDS, etc.</p>		<p>Retain at agency 30 years; destroy.</p> <p><a href="#">16 Del. C. § 2407</a> <a href="#">16 Del. C. § 6305</a>  <a href="#">29 C.F.R. § 1910.1020(d)(1) (ii)(B)</a>  <a href="#">29 C.F.R. § 1910.1200</a> <a href="#">40 C.F.R. Part 355</a></p> <p><b>NOTE:</b> This information should also be identified on the agency's Workplace Chemical List (GPR-018).</p>	05/02/2019
GPR-018	<p><b>WORKPLACE CHEMICAL LIST (CHEMICAL INFORMATION LISTS (CIL))</b></p> <p>This series documents the hazardous chemicals used and/or stored by agencies in the workplace. The minimum information retained in this series are chemical inventories and records that document where and when a substance is used or stored and the identity of the toxic substance or harmful physical agent (chemical, common or trade name). This listing is updated as necessary, but not less than annually.</p>		<p>Retain at agency 30 years; destroy.</p> <p><a href="#">16 Del. C. § 2406(e)</a> <a href="#">16 Del. C. § 6306</a>  <a href="#">29 C.F.R. § 1910.1020(d)(1) (ii)(B)</a>  <a href="#">29 C.F.R. § 1910.1200</a> <a href="#">40 C.F.R. Part 355</a></p>	06/08/2016
GPR-019	<p><b>RIGHT-TO-KNOW HAZARDOUS CHEMICALS TRAINING PROGRAM RECORDS</b></p> <p>This series documents the education and training sessions given to employees on using or handling hazardous chemicals. Includes the topics, dates and duration of training and may contain a list of protective equipment issued to employees handling hazardous chemicals.</p>		<p>Retain at agency's Human Resources Office in the employee's Personnel Record, Departmental (GPR-005).</p> <p><a href="#">16 Del. C. § 2410b and 2415</a>  <a href="#">29 C.F.R. § 1910.1200</a>  <a href="#">40 C.F.R. Part 355</a></p>	06/08/2016

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<b>GPR-020</b> (GPR-005H)	<p><b>EMPLOYEE MEDICAL RECORD</b></p> <p>This series provides documentation of an employee's illness, injuries, prognosis and treatment that are used to determine eligibility for Americans with Disability Act (ADA) requests for accommodation, disability (long term and short term), Family and Medical Leave Act (FMLA).</p> <p>This employee medical records contains HIPAA and non-HIPAA documents. HIPAA documents- include but are not limited to Protected Health Information (PHI) or individually identifiable information that identifies an employee. This record series contains Confirmation of Benefits (COB), any Explanation of Benefits (EOB), claims and appeals relating to the following programs: Group Health, Dental, Hearing, and Vision Plans, Pharmacy Benefit Managers, Employee Assistance Programs (EAP), Flexible Spending Account (FSA), Health Reimbursement Arrangements (HRA), COBRA, Wellness Programs, written authorizations for access to the HIPAA file, Donated Leave Program records (applications, medical support, approvals and donation forms), test ordered by a medical professional that are necessary to identify and/or treat a medical condition. Non-HIPAA regulated documents and materials including, but not limited to, eligibility information, enrollment forms, claims and appeal information. Records may contain FMLA applications and requests, medical certifications and statements from healthcare providers, return to work information, sick leave requests/justifications, ADA records, workers' compensation documents, Occupational Safety and Health Administration (OSHA) reports, Short Term Disability (STD) records, Long Term Disability (LTD) records, Life and Accidental Death and Dismemberment (AD&amp;D) records, Blood Bank information, donated leave, etc.</p>	<b>CONFIDENTIAL</b>	<p>Retain at agency 3 years after separation; transfer to State Records Center for 47 years; destroy.</p> <p>Please refer to the State of Delaware Department of Human Resources' (or its successor department)</p> <p><b>Note:</b> This information is not to be retained in the Personnel Record, Departmental (GPR-005).</p> <p>HIPAA Privacy Rule HIPAA Security Rule <a href="#">45 C.F.R. § 160.103</a> <a href="#">45 C.F.R. Part 162</a> <a href="#">45 C.F.R. Part 164</a> <a href="#">29 C.F.R. 825.500</a> Americans with Disabilities Act - Confidential <a href="#">29 C.F.R. § 1910.1200</a> Occupational Safety and Health Administration (OSHA)</p> <p><b>NOTE:</b> Drug and alcohol test results (GPR-028)</p>	<p>05/02/2019 11/29/2022</p>

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## GENERAL RETENTION SCHEDULE FOR STATE AGENCIES PERSONNEL RECORDS

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<b>GPR-024</b> (GPR-005I)	<b>EMPLOYMENT ELIGIBILITY VERIFICATION FORMS (FORM I-9)</b>  This series is used to verify employment eligibility within the United States. This series may include copies of valid driver's license, passports, birth certificates, and other supporting documentation.	<b>CONFIDENTIAL</b>	Retain at agency 3 years after date hired; destroy.  <a href="#">8 C.F.R. § 274a.2(2)(i)(A) &amp;(B)</a>	05/02/2019 11/29/2022
<b>GPR-025</b> (GPR-005F)	<b>DISCIPLINE</b>  Formal (written) notification of discipline action taken in accordance with state merit rules. Records relating to the dismissal, suspension, or other action against employees. Include reports, correspondence, investigative documents, progressive disciplinary steps taken, and similar material.	<b>CONFIDENTIAL</b>	Retain at agency 2 years after last or similar offense; destroy.  <a href="#">29 Del. C. § 5943</a> <a href="#">19 Del Admin. C. § 3001-13.0</a> <a href="#">Merit Rule 12</a>  <b>NOTE:</b> Adverse documentation shall not be cited by agencies in any action involving a similar subsequent offense after 2 years, except if employees raise their past work record as a defense or mitigating factor	11/29/2022
<b>GPR-026</b> (GAF-086)	<b>GARNISHMENT/WAGE ATTACHMENT</b>  Contains court orders and record of payments and deductions from employee's pay.	<b>CONFIDENTIAL</b>	Retain at agency 3 years after satisfaction of order or separation of employment; destroy  <a href="#">29 C.F.R. § 870</a> (FLSA) 29 U.S.C. § 203 <a href="#">29 C.F.R. Part 8</a>	11/29/2022
<b>GPR-027</b> (GPR-005G)	<b>PERFORMANCE PLAN AND REVIEW (EMPLOYEE PERFORMANCE PLANING AND APPRAISAL (EPPA))</b>  Employee's work plan plus periodic rating of job performance. The rules shall provide for the keeping of performance records on all employees in the classified service, which records may be considered in determining salary increases or decreases, promotion, layoffs and reinstatement, demotions, discharges, and transfers.	<b>CONFIDENTIAL</b>	Retain at agency current 5 years in Department Personnel Record; destroy.  <a href="#">29 Del. C. § 5927</a> <a href="#">Merit Rule 13.0</a> <a href="#">29 C.F.R. § 516.5</a>	11/29/2022
<b>GPR-028</b>	<b>DRUG AND ALCOHOL TEST</b> Required by the state as part of initial employment screening and periodic testing to ensure the employee is capable of performing safety sensitive functions.	<b>CONFIDENTIAL</b>	Retain at agency 5 years if positive test result and 1 year if negative test result. Destroy.  <a href="#">49 C.F.R. § 40.333(a)(1) &amp; (4)</a> <a href="#">42 C.F.R. § 2.31</a>	11/29/2022

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<b>PERSONNEL RECORD, DEPARTMENTAL (GPR-005) PURGE LIST</b>				
<b>The following items should be destroyed according to Delaware Public Archives destruction protocols:</b>				
<ol style="list-style-type: none"><li>1. Duplicates</li><li>2. Performance Plans/Reviews prior to the last five (5) appraisals. Agencies must maintain the five (5) most recent years of performance plans and reviews if available.</li><li>3. Wage attachments. Retain until order is satisfied or separation of employment</li><li>4. Disciplinary actions: Retain for two (2) years after the last subsequent similar offense.</li><li>5. Employment Eligibility Verification Forms (I-9). destroy (3) years after hired.</li><li>6. Recommendations/commendations (return to employee).</li><li>7. Drug and Alcohol test results that are older than five (5) years if positive or (1) year if negative from the date tested.</li><li>8. Miscellaneous materials (requests for training, Department of Labor requests for wage and separation information, requests for evaluation; etc.).</li><li>9. Criminal Background Checks: Retain at agency for (5) years or until the final disposition of any legal action</li></ol>				

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**General Notes:**

1. Delaware Codes used within this Retention Schedule:
  - a. [6 Del. C. Ch. 12A](#) Uniform Electronic Transaction Act
  - b. [11 Del. C. Ch. 85](#) Crimes and Criminal Procedure; Law Enforcement Administration Delaware Criminal Justice Information System
  - c. [16 Del. C. Ch. 24](#) Health and Safety; Hazardous Chemical Information Act
  - d. [16 Del. C. Ch. 63](#) Emergency Planning and Community Right-to-Know
  - e. [19 Del. C. Ch. 23](#) Labor; Workers' Compensation
  - f. [29 Del. C. Ch. 5](#) Public Records Law
  - g. [29 Del. C. Ch. 59](#) Merit System of Personnel Administration
  - h. [29 Del. C. Ch. 100](#) Freedom of Information Act (FOIA)
  - i. [31 Del. C. Ch. 3](#) Child Welfare
2. Delaware Administrative Code:
  - a. [1 Del. Admin. C. § 1301](#) Delaware Criminal Justice Information System Rules and Regulations: 7.1 CJI Records Retention and Destruction "...Under no circumstances should printed information be maintained in any agency files or records, including, without limitation, in personnel files."
  - b. [19 Del. Admin. C. § 3001-1.2](#) Merit Employees Relation Board § 1.2 In the event of conflict with the Delaware Code, the Code governs. In the event of conflict with individual agency regulations, these rules take precedence. In the event of conflict with Intergovernmental Merit system Standards, the Standards govern federally funded positions subject to the provisions of the Intergovernmental Personnel Act. Federal laws supersede any conflicting state laws.
3. United States Code/Code of Federal Regulation:
  - a. [8 C.F.R. § 274a.2\(2\)\(i\)\(A\) &\(B\)](#) Aliens and Nationality, Immigration Regulations, Control of Employment of Aliens, Verification of identity and employment authorization
  - b. [29 C.F.R. § 516.5](#) Labor, Wage and Hour Division, Department of Labor: Records to be Kept by Employers
  - c. [29 C.F.R. § 1602.30](#) Labor, Equal Employment Opportunity Commission, State and Local Governments Recordkeeping, Records to be made or kept
  - d. [29 C.F.R. § 1602.31](#) Labor, Equal Employment Opportunity Commission, State and Local Governments Recordkeeping, Preservation of records made or kept
  - e. [29 C.F.R. § 1627](#) Labor, Records to Be Made or Kept Relating to Age: Notices to Be Posted
  - f. [29 C.F.R. § 1904](#) Labor, Occupation Safety and Health Standards, Recording and Reporting Occupational Injuries and Illness
  - g. [29 C.F.R. § 1910.1200](#) Labor, Occupation Safety and Health Standards, Hazard communication
  - h. [40 C.F.R. Part 355](#) Protection of Environment, Emergency Planning and Notification
  - i. [45 C.F.R. Part 160](#) Public Welfare, General Administrative Requirements
  - j. [45 C.F.R. Part 164](#) Public Welfare, Security and Privacy
  - k. [49 C.F.R. § 40.333\(a\)\(1\) & \(4\)](#) Transportation, Procedures for Transportation Workplace Drug and Alcohol Testing Programs, What records must employers keep
4. The composition and organizational guidance for *Personnel Records, Departmental* are provided in the [State of Delaware Employee File Guidelines](#)
5. State of Delaware Executive Orders may be accessed from the Governor's Website
6. The State of Delaware utilizes several software programs to support personnel record financial programs:
  - a. The Delaware Employment Link (DEL), hosted by the Office of Management and Budget, is a software program used to manage the application process for selecting potential employees for most positions the executive branch of government. This program is serviced by JobAps and DTI provides information backup support.
  - b. Payroll Human Resource Statewide Technology (PHRST): Documents produced by this program are retained in Document Direct, Envision Reports, and On Demand Documentation, which are backed up and supported by DTI.
7. First State Financial Accounting System (FSF) Website: <http://extranet.fsf.state.de.us/>
8. Payroll Human Resource Statewide Technology (PHRST) reports are located on the PHRST Website: <http://extranet.phrst.state.de.us/default.shtml>
9. [Workplace Chemical List](#). Agencies are also required to submit a Work Place Chemical List/Hazardous Chemical Inventory Tier II Reports annually on or before March 1<sup>st</sup> to the Local Emergency Planning Committee (LEPC), the State Emergency Response Commission and the fire department with jurisdiction over the facility per requirements of [16 Del. C § 6306 \(b&c\)](#), and the [State of Delaware, Emergency Planning and Community Right-to-Know Act \(EPCRA\) Reporting Program](#).
10. If any data is necessary to reconstruct the master file or required for audit, it should be listed on an agency approved records retention schedule
11. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.

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12. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
13. If the Data System(s) records that replace the hard copy records have differing retention periods and the software program does not readily permit selective destruction; then Destroy after the record with the longest retention period has expired.
14. Contingency backup records shall be maintained apart from the master file or data system in a secure offsite facility.
15. A record may not be destroyed before the expiration of its retention period, nor if there is any litigation, claim, negotiation, audit requirement, open record request, administrative review, or other action involving the record while it exists.
16. See also the Archive's [Model Guidelines for Electronic Records](#) for additional guidance concerning the maintenance, and disposition of electronic records.
17. 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. [6 Del. C. § 12A-112.](#)

## **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 the retention schedules.
- 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, the decision-making process, development, and program origins. Furthermore, government records provide a means for monitoring activities and programs, maintaining accountability, documenting and protecting the rights of citizens, and defining the obligations of the government.

## **F. AUDITS, CONFIDENTIAL RECORDS, 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.

### **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 Schedules 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 Archives for storage, document imaging or preservation must be identified.

### **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 requirements take precedence to the retention schedule instructions ([29 Del. C. § 524](#)). Additionally, agencies must contact their assigned Archives Information Resources 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.

## G. 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 the Archives to determine the record or non-record status of a particular file.

### **Non-record materials may include:**

- Blank forms.
- Duplicate copies 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 scrutinizes records to remove non-record materials.

## H. AGENCY ASSIGNMENTS (02/07/2019)

Delaware Public Archives has assigned an Information Resources Specialist (Records Analyst) to each state and local government agency. The following list of agency assignments identifies the responsible Records Analyst and their e-mail and office phone. Please contact your assigned Records Analyst regarding policies and procedures, office consultations or for technical advice.

### **Amber Clendaniel**

**([amber.clendaniel@delaware.gov](mailto:amber.clendaniel@delaware.gov)) (744-5043)**

1205	Supreme Court
1215	Justice of the Peace Courts
1217	Superior Court / Prothonotary
1220	Court of Common Pleas
1225	Court of Chancery
1227	Family Court
1560	Department of Justice
1561	Public Defender
1605	Department of Correction
1660	Department of Public Safety/Homeland Security
1801	Delaware National Guard
1914	Board of Parole
1920	Criminal Justice Council
1923	DELJIS

### **Marian Coker**

**([marian.coker@delaware.gov](mailto:marian.coker@delaware.gov)) (744-5064)**

1380	Department of Agriculture
1432	Delaware State Housing Authority
1500	Department of Health and Social Services
1501	Department of Services for Children, Youth and Their Families (KIDS)
1540	Department of Transportation
1620	Department of Natural Resources and Environmental Control
1932	Delaware Solid Waste Authority

### **Jean Townson**

**([jean.townson@delaware.gov](mailto:jean.townson@delaware.gov)) (744-5045)**

0920	Delaware River and Bay Authority
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#### **Local Government Records -**

2---	New Castle County
3---	Kent County
4---	Sussex County
5---	NCC Municipalities
6---	KC Municipalities
7---	SC Municipalities

### **Rebekah Lee**

**([rebekah.lee@delaware.gov](mailto:rebekah.lee@delaware.gov)) (744-5006)**

1580	Department of Labor
1953	Fire School / Fire Marshal
8005	Department of Education
8---	School Districts
8300	Delaware State University
8400	Delaware Tech
8500	University of Delaware

### **Kit Carson**

**([rodney.carson@delaware.gov](mailto:rodney.carson@delaware.gov)) (744-5021)**

1107	Legislative Council/Controller General
1111	General Assembly Sunset Committee
1115	House
1120	Senate
1302	Governor
1304	Lt. Governor
1305	Office of Management and Budget
1308	Department of Technology and Information
1310	Treasurer
1315	Auditor
1320	Insurance
1322	Elections
1325	Department of State
1400	Department of Human Resources
1460	Department of Finance

NOTE: There are separate general schedules for state agencies, schools and local governments.



## I. RECORD 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 Resources Specialist (Record 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>
Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Award, Office of Management and Budget Guidance for Grants and Agreements  Retention Requirements for Records 2 C.F.R. § 200.333	<a href="https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-333">https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-333</a>  <a href="#">2 C.F.R. § 200.333</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>

## **J. GLOSSARY OF RECORD 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 an Archives Records 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. 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. [29 Del. C. § 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. transfer 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. The content of a record, not the medium, determines whether it is considered 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 RESOURCES 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 of 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. 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.

## **RECORD 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 Del. C. § 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.

## **RECORD 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 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, calculations, or other important evidence used in the preparation of audits, budgets, studies, or reports that are not fully represented in the final product.

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

## **K. STATE GENERAL RETENTION SCHEDULE MODIFICATION HISTORY**

### **STATE GENERAL RETENTION SCHEDULE MODIFICATION HISTORY**

<b><u>Schedule Name</u></b>	<b><u>Revision Date</u></b>
<b>Accounting and Financial Records (GAF)</b>	<b>August 2017</b>
<b>Administrative Records (GAR)</b>	<b>August 2017</b>
<b>Personnel Records (GPR)</b>	<b>May 2019</b>

STATE OF DELAWARE  
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GENERAL RETENTION SCHEDULE FOR STATE AGENCIES  
ACCOUNTING AND FINANCIAL RECORDS

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**Retention Schedule Modification History**

<b>Record Series</b>	<b>Title and explanation of actions taken</b>	<b>Date Changed</b>
<b>GAF-001</b>	<b>ACCOUNTS PAYABLE.</b> Title changed. Retention changed to Retain at agency three years; successful audit; destroy. Added GAF 002, GAF-003, GAF-006, GAF-007, GAF-011, and GAF 024.	11/20/2013
<b>GAF-001</b>	<b>ACCOUNTS PAYABLE.</b> Added confidentiality instructions: Records that could jeopardize the security of any state owned structure, facilitate the planning of a terrorist attack, or endanger the life or physical safety of an individual are to be treated as confidential per <a href="#">29 Del C. § 10002(d)(17)a</a>	08/07/2017
<b>GAF-002</b>	<b>PAYMENT VOUCHERS (PV) (REGULAR, DIRECT CLAIM).</b> Merged into GAF-001 Accounts Payable.	11/20/2013
<b>GAF-002</b>	<b>PROJECT/VENDOR FILES</b> (formerly GAF-028). Record series number changed to maintain organization within the schedule.	11/20/2013
<b>GAF-003</b>	<b>INTERGOVERNMENTAL VOUCHERS (IV).</b> Merged into GAF-001 Accounts Payable.	11/20/2013
<b>GAF-003</b>	<b>ACCOUNTS RECEIVABLE</b> (Formerly GAF-010). Title changed. Retention changed to Retain at agency three years; successful audit; destroy. GAF-030B combined into this series	11/20/2013
<b>GAF-004</b>	<b>JOURNAL VOUCHERS (EXPENDITURE CORRECTIONS (EX)).</b> Retention changed to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-005</b>	<b>RECEIPTS REPORTS AND LEDGERS –CASH/CREDIT.</b> Title changed and retention changed to Retain at agency three years; successful audit; destroy. Added GAF-033, GAF-035, GAF-036.	11/20/2013
<b>GAF-006</b>	<b>PERSONAL EXPENSE REIMBURSEMENTS (PV).</b> Merged into GAF-001 Accounts Payable.	11/20/2013
<b>GAF-006</b>	<b>EXPENSE BUDGET (EB)</b> (Formerly GAF-008). Record series number changed to GAF-006. Retention changed to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-007</b>	<b>REQUESTS FOR PURCHASE ORDER.</b> Merged into GAF-001 Accounts Payable.	11/20/2013
<b>GAF-008</b>	<b>BUDGET TRANSFERS (TR).</b> (Formerly GAF-018) Record series number changed to GAF-008. Retention changed to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-009</b>	<b>REVENUE BUDGETS (RB).</b> Merged into GAF-013. DFMS is a legacy accounting software program; The State of Delaware changed to First State Financial. Retention changed to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-009</b>	<b>OPERATIONAL BUDGET WORKING PAPERS.</b> (Formerly GAF-019). Title changed and description updated. Retention changed to Retain at agency Three years; Successful Audit; Destroy.	11/20/2013
<b>GAF-010</b>	<b>GRANT FILES.</b> (Formerly GAF-017). Retention changed to Retain at agency; close of project plus a minimum of three years (see note); successful final audit; destroy.	11/20/2013

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GENERAL RETENTION SCHEDULE FOR STATE AGENCIES  
ACCOUNTING AND FINANCIAL RECORDS

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<b>GAF-010</b>	<b>GRANT RECORDS (formerly Grant Files).</b> Record series divided into 2 subseries to provide more clarity to managing the records.	08/07/2017
<b>GAF-010A</b>	<b>GRANT RECORDS. Grant Management Records.</b> Agreements between federal and state agencies for the award of moneys to finance operations of state agencies. This series includes relevant accounting, banking, purchasing, and payroll records; and other documents and working papers associated with the administration of the grant funds. Used to prepare reports as required by federal or state laws or regulations.	08/07/2017
<b>GAF-010B</b>	<b>GRANT RECORDS. Program Activity Reports.</b> Grant applications, annual, narrative or statistical reports on the activities supported by the grant program. Retain at agency for three years after completion of project; transfer to the Archives for permanent preservation using record series GAR-001, Policy and Program Records.	08/07/2017
<b>GAF-011</b>	<b>MANUAL WARRANTS (MW).</b> Merged into GAF-001 Accounts Payable.	11/20/2013
<b>GAF-011</b>	<b>FEDERAL AID MASTERS (FM)</b> (formerly GAF-052 Federal Aid Master (FM)).	11/20/2013
<b>GAF-012</b>	<b>CHECK REGISTERS.</b> Merged into GAF-017 Bank Records.	11/20/2013
<b>GAF-013</b>	<b>DEPOSIT SLIPS.</b> Merged into GAF-017 Bank Records.	11/20/2013
<b>GAF-013</b>	<b>FIRST STATE FINANCIAL (FSF) REPORTS.</b> (Formerly GAF-038 Revenue Reports). Title and description changed. Added two sub series.	11/20/2013
<b>GAF-013</b>	<b>FIRST STATE FINANCIAL (FSF) MONTHLY ACCOUNTING RECONCILIATION REPORTS (formerly First State Financial (FSF) Reports. A: Monthly Reconciliation Reports).</b> Record series title changed to reflect the function of the series. Subseries eliminated to provide clarity and remove confusion.	08/07/2017
<b>GAF-013A</b>	<b>FIRST STATE FINANCIAL (FSF) REPORTS. A: Monthly Reconciliation Reports:</b> Retention three years: successful audit: destroy, merged record series GAF-038-047, GAF-062, and-GAF-091.	11/20/2013
<b>GAF-013A</b>	<b>FIRST STATE FINANCIAL (FSF) REPORTS. A: Monthly Reconciliation Reports:</b> Subseries eliminated, information merged into GAF-013.	08/07/2017
<b>GAF-013B</b>	<b>FIRST STATE FINANCIAL (FSF) REPORTS. B: Records included in other Reporting Packages:</b> First State Financial Reports used to as part of another record series. Such as Payroll, Grant Files (GAF-010), Generally Accepted Accounting Practices Reporting Packages (GAF-016). Retention as required by the gaining record series.	11/20/2013
<b>GAF-013B</b>	<b>FIRST STATE FINANCIAL (FSF) REPORTS. B: Records included in other Reporting Packages:</b> Subseries eliminated information merged into GAF-013.	08/07/2017
<b>GAF-014</b>	<b>PETTY CASH FUND SYSTEM.</b> Merged into GAF-017 Bank Records.	11/20/2013
<b>GAF-014</b>	<b>AUDIT REPORTS OF A STATE AGENCY (formerly GAF-022).</b> Changed Record series number to GAF-022.	11/20/2013
<b>GAF-014</b>	<b>AUDIT REPORTS OF A STATE AGENCY.</b> Revised record series description. Increased retention. New retention Retain at agency until all findings are corrected plus three years; destroy.	08/07/2017



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<b>GAF-015</b>	<b>PROCUREMENT CONTRACTS, AGREEMENTS, AND LEASES.</b> Title changed; GAF-016, GAF-020 and GAF-085 merged into GAF 030 Procurements.	11/20/2013
<b>GAF-015</b>	<b>PROCUREMENT CONTRACTS, AGREEMENTS, AND LEASES.</b> Record Series deleted, duplicate of GAF-013. Reference to previous series GAF-016 added to the previous series of GAF-013.	08/07/2017
<b>GAF-015</b>	<b>MONTHLY ACCOUNT CERTIFICATION AND RECONCILIATION PACKAGE.</b> (Formerly GAF-061 Monthly Account Reconciliation Report) Series title and series number changed. Retention changed to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-016</b>	<b>BIDS, BID SPECS, QUOTES.</b> Merged into GAF-030 Procurements.	11/20/2013
<b>GAF-016</b>	<b>GENERALLY ACCEPTED ACCOUNTING PRINCIPLES (GAAP) REPORTING PACKAGES.</b> (Formerly GAF-051) Changed retention to Retain at agency Three years; Successful Audit; Destroy. GAF-037 also combined into GAF 016.	11/20/2013
<b>GAF-016</b>	<b>GENERALLY ACCEPTED ACCOUNTING PRINCIPLES (GAAP) REPORTING PACKAGES.</b> Updated record series to provide more clarity to the series description.	08/07/2017
<b>GAF-017</b>	<b>BANK RECORDS.</b> (Formerly GAF-023). Title changed. GAF-012, GAF-013, GAF-014 and GAF-023 combined into GAF-017.	11/20/2013
<b>GAF-019</b>	<b>EXCEPTION REPORTS.</b> (Formerly GAF-090). Retention changed to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-019</b>	<b>EXCEPTION REPORTS.</b> Added confidentiality requirement.	08/07/2017
<b>GAF-020</b>	<b>REQUESTS FOR PROPOSALS (RFP).</b> Merged into GAF-030 Procurements.	11/20/2013
<b>GAF-020</b>	<b>EXCESS PROPERTY DISPOSITION REQUESTS.</b> (formerly GAF-027 Equipment Reimbursement Requests) Name and series number changed. Changed retention to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-021</b>	<b>TELEPHONE BILLINGS.</b> Merged into GAF-001 Accounts Payable.	11/20/2013
<b>GAF-021</b>	<b>UNCOLLECTABLE ACCOUNTS.</b> (Formerly GAF-031). Series number changed. Retention changed: Retain at agency until collection or 10 years, successful audit; destroy.	11/20/2013
<b>GAF-022</b>	<b>GENERAL FUND DISBURSEMENTS.</b> (Formerly GAF-048). Retention changed to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-023</b>	<b>BANK RECORDS.</b> Title changed, series number changed to GAF-017. Record series GAF-012-14 and GAF-02. Merged into GAF-017.	11/20/2013
<b>GAF-023</b>	<b>PAYROLL HUMAN RESOURCE STATEWIDE TECHNOLOGY REPORTS PAYROLL FUNDING REPORTS.</b> (Formerly GAF-063) Title Changed to align with PHRST. Two subseries added.	11/20/2013
<b>GAF-023A</b>	<b>PAYROLL HUMAN RESOURCE STATEWIDE TECHNOLOGY REPORTS (PHRST) A. Payroll Reconciliation package.</b> New record series. Retain at agency three years; successful audit; destroy.	11/20/2013

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<b>GAF-023A</b>	<b>PAYROLL HUMAN RESOURCE STATEWIDE TECHNOLOGY REPORTS (PHRST) A. Payroll Funding Expenditure Authorizations.</b> Sub-series renamed and description updated to reflect use. Retention remained the same.	08/07/2017
<b>GAF-023B</b>	<b>PAYROLL HUMAN RESOURCE STATEWIDE TECHNOLOGY REPORTS (PHRST) B. Records included in other Reporting Packages.</b> New record series. Retain according to assigned record series.	11/20/2013
<b>GAF-023B</b>	<b>PAYROLL HUMAN RESOURCE STATEWIDE TECHNOLOGY REPORTS (PHRST) B. Records included in other Reporting Packages.</b> Sub-series deleted to provide clarity and remove confusion.	08/07/2017
<b>GAF-023B</b>	<b>PAYROLL HUMAN RESOURCE STATEWIDE TECHNOLOGY REPORTS (PHRST) B. Payroll and Benefit Corrections. New Series.</b> Action requests made by the employee or agency to make corrections to an employee's pay and or benefits. May include applications, authorization forms and other supporting documentation as needed by the employee or agency. Retention to be Retain at agency three years; successful audit; destroy.	08/07/2017
<b>GAF-023C</b>	<b>PAYROLL HUMAN RESOURCE STATEWIDE TECHNOLOGY REPORTS (PHRST) C. Payroll Internal Control Plan and Questionnaire Records. New Series.</b> Action requests made by the employee or agency to make corrections to an employee's pay and or benefits. May include applications, authorization forms and other supporting documentation as needed by the employee or agency. Retention to be Retain at agency three years; successful audit; destroy.	08/07/2017
<b>GAF-024</b>	<b>REQUISITIONS (RQ).</b> Merged into GAF-001 Accounts Payable.	11/20/2013
<b>GAF-024</b>	<b>FORM W5.</b> (formerly GAF-071) Corrected series description and changed retention to Retain at agency Four years; successful audit; destroy.	11/20/2013
<b>GAF-024</b>	<b>TAX FORMS (formerly FORM W5).</b> Record series title changed to include tax forms commonly used by agencies within the state. Added subseries for FormW4, Form W5, Form W9 and Form 1099 MISC.	08/07/2017
<b>GAF-024A</b>	<b>TAX FORMS A. FORM W-4.</b> Federal form used to instruct employers what to withhold for federal income tax. Retention to be Retain for 4 years after the date of the last Form 1040 filed using the associated Form W-4.	08/07/2017
<b>GAF-024B</b>	<b>TAX FORMS B. FORM W-5.</b> Noted on retention schedule that this form is no longer required of January 2011: Series will not be used after Jan 1, 2015 and all forms may be destroyed once retention is met.	08/07/2017
<b>GAF-024C</b>	<b>TAX FORMS C. FORM W-9. New Series.</b> Federal form used by vendors to provide a Taxpayer Identification Number to the state to provide a report of income paid.	08/07/2017
<b>GAF-024D</b>	<b>TAX FORMS D. FORM 1099 MISC. New Series.</b> Federal form used to report payments made to vendors for providing goods or services to the state. If vendor is in the First State Financial system then retain in system for life of Company plus 3 years; successful audit; destroy. If the vendor is not in the First State Financial system then retain at agency for duration of service plus 3 years; successful audit; destroy	08/07/2017
<b>GAF-025</b>	<b>AGENCY BANK ACCOUNTS (TR-1A, 1B, 1C) (formerly GAF-025).</b> Record series number changed to GAF-018. Changed retention to Retain at agency; close of account plus three years; successful audit; destroy.	11/20/2013
<b>GAF-025</b>	<b>ATTENDANCE CLAIM NOTIFICATION FORM (AC-1)</b> (formerly GAF-076 AC-1 Notification Forms).	11/20/2013

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<b>GAF-025</b>	<b>ATTENDANCE CLAIM NOTIFICATION FORM (AC-1)</b> (formerly GAF-076 AC-1 Notification Forms) Series Deleted because Form AC-1 was discontinued in 2001. All Form AC-1 were eligible for destruction as of 01/01/2005. Process now completed in GAF023A Payroll Funding Expenditure Authorizations.	08/07/2017
<b>GAF-025</b>	<b>PAYROLL OVERPAYMENTS AND REPAYMENTS. New Series.</b> This series includes any supporting documentation, forms, and approvals used identify wage overpayments to the Division of Accounting as well as the documentation of all repayments made to satisfy the debt. Retention to be Retain at agency 3 years after debt is satisfied and W-2 or W-2c issued; successful audit; destroy.	08/07/2017
<b>GAF-026</b>	<b>BANK ACCOUNT AND INVESTMENT REPORTS (BR-1B).</b> Record Deleted.	06/30/1994
<b>GAF-026</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS.</b> (Formerly GAF-034) Merged GAF-049 and GAF-050.	11/20/2013
<b>GAF-026</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS.</b> Description modified by removing the financial records from this series and merging them with GAF-027 Tax Exempt Bond Funded Major and Minor Capital Improvement Project (CIP) Financial Records.	08/07/2017
<b>GAF-26A</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS. A: State Funded:</b> Retain at agency Three years; and completion of successful final audit; purge per approved purge list; transfer to Archives for permanent preservation. Subseries added to clarify retention.	11/20/2013
<b>GAF-26A</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS. A: State Funded:</b> A confidential requirement per <a href="#">29 Del C. § 10002(l)(17)a</a>	08/07/2017
<b>GAF-026B</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS. B: Federally Funded:</b> Retain at agency Three years and completion of successful final; (See Note); Purge per approved purge list; transfer to Archives for permanent preservation. Subseries added to clarify retention.	11/20/2013
<b>GAF-026B</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS. B: Federally Funded:</b> Added confidentiality instructions: Records that could jeopardize the security of any state owned structure, facilitate the planning of a terrorist attack, or endanger the life or physical safety of an individual are to be treated as confidential per <a href="#">29 Del C. § 10002(l)(17)a</a> .	08/07/2017
<b>GAF-026C</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS. C. Deeds of Land Acquisition.</b> Subseries added to clarify retention.	11/20/2013
<b>GAF-026D</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS. D. Archival As Built.</b> Subseries added to clarify retention.	11/20/2013
<b>GAF-026D</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS. D. Archival As Built.</b> Added confidentiality instructions: Records that could jeopardize the security of any state owned structure, facilitate the planning of a terrorist attack, or endanger the life or physical safety of an individual are to be treated as confidential per <a href="#">29 Del C. § 10002(l)(17)a</a> .	08/07/2017

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<b>GAF-027</b>	<b>TAX EXEMPT BOND FUNDED MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS.</b> Merged part of GAF-049 and GAF-050 into series.	11/20/2013
<b>GAF-027</b>	<b>TAX EXEMPT BOND FUNDED MAJOR AND MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS</b> (formerly Tax Exempt Bond Funded Minor Capital Improvement Project (CIP) Financial Records). Changed title and description to include the financial records for Major Capital Improvement Projects.	08/07/2017
<b>GAF-027A</b>	<b>TAX EXEMPT BOND FUNDED MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS (formerly GAF-050). A. General Obligation Bonds.</b> Retain at agency three years, transfer to State Records Center for Life of Bond Plus 10 Years; successful audit; destroy. Subseries added to clarify retention.	11/20/2013
<b>GAF-027A</b>	<b>TAX EXEMPT BOND FUNDED MAJOR AND MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS</b> (formerly Tax Exempt Bond Funded Minor Capital Improvement Project (CIP) Financial Records). <b>A. General Obligation Bonds.</b> Record series includes the financial records for Major Capital Improvement Projects.	08/07/2017
<b>GAF-027B</b>	<b>TAX EXEMPT BOND FUNDED MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS. B. Refunded Bonds and Bonds replaced with Longer Maturities.</b> Retain at agency three years, transfer to State Records Center for Life of Bond Plus 10 years; successful audit; destroy. Subseries added to clarify retention.	11/20/2013
<b>GAF-027B</b>	<b>TAX EXEMPT BOND FUNDED MAJOR AND MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS</b> (formerly Tax Exempt Bond Funded Minor Capital Improvement Project (CIP) Financial Records). <b>B. Refunded Bonds and Bonds replaced with Longer Maturities.</b> Record series includes the financial records for Major Capital Improvement Projects.	08/07/2017
<b>GAF-028</b>	<b>NON TAX EXEMPT BOND FUNDED MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS.</b> Merged part of GAF-49 and GAF-050 into series.	11/20/2013
<b>GAF-028</b>	<b>NON TAX EXEMPT BOND FUNDED MINOR CAPITAL IMPROVEMENT PROJECT (CIP) FINANCIAL RECORDS.</b> Revised record series description to provide more clarity to the records.	08/07/2017
<b>GAF-028</b>	<b>PROJECT / VENDOR FILES.</b> Record series number changed to GAF-002. Title and retention changed to Retain at agency Three years; Successful Audit; Destroy. Added notes: 1) See GAF-001 and GAF-002 for retention of record copies. 2) Records that apply to GAF-015 must be maintained separately from GAF-028. 3) Maintaining Records by vendor is not a recommended records keeping practice, It is recommended that these records be maintained by project type.	11/20/2013
<b>GAF-029</b>	<b>FEDERAL CONTROL LEDGER AND MANUAL POSTINGS</b> (formerly Control Ledgers (Manual Posting)). Records series number changed to GAF-012, Title changed, retention changed to Retain at agency; close of project plus a minimum of three years (see note); successful audit; destroy.	11/20/2013
<b>GAF-029</b>	<b>FIXED ASSET REPORTS</b> (formerly GAF-089). Record series number changed.	11/20/2013
<b>GAF-030A</b>	<b>OPEN ORDER NOTEBOOKS. CONTROL LEDGER/NOTEBOOKS.</b> GAF-030A Deleted. It was a restatement of GAF-001 Accounts Payable.	11/20/2013
<b>GAF-030B</b>	<b>OPEN ORDER NOTEBOOKS. ACCOUNTS RECEIVABLE.</b> GAF-030B Merged into GAF-003 Accounts Receivable.	11/20/2013

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<b>GAF-031</b>	<b>FEDERAL TAX INFORMATION (FTI) SECURITY RECORDS.</b> New record series. This series documents audit, operational and security controls used to ensure the appropriate access and use of Federal Tax Information (FTI) / Service Management Facilities (SMF) data by authorized state employees. Retention: Retain at Agency seven federal fiscal years; successful audit; destroy.	08/07/2017
<b>GAF-031</b>	<b>UNCOLLECTABLE ACCOUNTS.</b> Record series number changed to GAF-021. Retention changed to Retain at Agency until collection or 10 years, successful audit; destroy.	11/20/2013
<b>GAF-032</b>	<b>CANCELLED PAYROLL CHECK AND PERSONAL REIMBURSEMENT FORMS.</b> Record series deleted. Per Division of Accounting, this record is no longer used.	11/20/2013
<b>GAF-033</b>	<b>RECEIPT LEDGERS.</b> Merged into GAF-004 Receipts Reports And Ledgers - Cash/Credit.	11/20/2013
<b>GAF-034</b>	<b>CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS.</b> Changed record series number to GAF-026 and added four subseries to clarify retention.	11/20/2013
<b>GAF-035</b>	<b>CASH REGISTER TAPES/CHARGE SLIPS.</b> Merged into GAF-004 Receipts Reports And Ledgers - Cash/Credit.	11/20/2013
<b>GAF-036</b>	<b>RECEIPT/RECEIPT BOOKS.</b> Merged into GAF-004 Receipts Reports And Ledgers - Cash/Credit.	11/20/2013
<b>GAF-037</b>	<b>LEAVE AVAILABLE REPORTS.</b> Merged into GAF-016 Generally Accepted Accounting Principles Reporting Packages (GAAP).	11/20/2013
<b>GAF-038</b>	<b>REVENUE REPORTS.</b> Title and description changed to GAF-013 First State Financial (FSF) Reports.	11/20/2013
<b>GAF-039</b>	<b>REVENUE BY BUDGET UNIT.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-040</b>	<b>SCHEDULE OF ENCUMBRANCES.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-041</b>	<b>STATEMENT OF BUDGETARY ACTIVITY AND ACCOUNT BAL.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-042</b>	<b>STATEMENT OF AVAILABLE FUNDS REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-043</b>	<b>TRANSACTIONS PROCESSED REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-044</b>	<b>VALIDITY BALANCE REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-045</b>	<b>APPROPRIATION EXPENDITURES BY OBJECT CODE.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-046</b>	<b>STATEMENT OF APPROPRIATIONS (MONTHLY BALANCES).</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-047</b>	<b>BUDGETARY ACTIVITY REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013

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<b>GAF-048</b>	<b>GENERAL FUND DISBURSEMENTS.</b> Series number changed to GAF-022. Retention changed to: Retain at agency Three years; successful audit; destroy.	11/20/2013
<b>GAF-049</b>	<b>CAPITAL IMPROVEMENT PROJECTS (CIP) FUND DISBURSE.</b> Merged into GAF-026 Construction Documents For Capital And Minor Improvement Projects.	11/20/2013
<b>GAF-050</b>	<b>NON-CAPITAL IMPROVEMENT PROJECT FUND DISBURSEMENT</b> (formerly Normal Budget Funded Projects). Series divided to describe processes for: GAF-027 Tax Exempt Bond Funded and GAF-028 Non Tax Exempt Bond Funded Minor Capital Improvement Project (CIP) Financial Records.	11/20/2013
<b>GAF-051</b>	<b>GENERALLY ACCEPTED ACCOUNTING PRINCIPLES REPORTING PACKAGES (GAAP).</b> Series number changed to GAF-016.	11/20/2013
<b>GAF-052</b>	<b>FEDERAL AID MASTERS (FM).</b> Record series number changed to GAF-011.	11/20/2013
<b>GAF-053</b>	<b>FEDERAL AID CHARGES (FC).</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-054</b>	<b>PURCHASE REQUESTS (PR) TRANSACTIONS ON DOCUMENT SUSPENSE FILE.</b> Series deleted, no longer used.	11/20/2013
<b>GAF-055</b>	<b>YEAR TO DATE PROGRAM FUNDS REPORT.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-056</b>	<b>DETAIL PROGRAM FUNDS REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-057</b>	<b>FEDERAL AID CHARGES REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-058</b>	<b>FEDERAL AID FUNDS REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-059</b>	<b>GRANTS ACTIVITY REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-060</b>	<b>APPROPRIATION REVENUE REPORTS.</b> Record series deleted; is no longer used.	11/20/2013
<b>GAF-061</b>	<b>MONTHLY ACCOUNT RECONCILIATION REPORT.</b> Series title and number changed to GAF-015 Monthly Account Certification And Reconciliation Package. Retention changed to Retain at agency three years; successful audit; destroy.	11/20/2013
<b>GAF-062</b>	<b>OBJECT OF EXPENDITURE REPORTS.</b> Merged into GAF-013 First State Financial Accounting System Reports (FSF).	11/20/2013
<b>GAF-063</b>	<b>PAYROLL FUNDING REPORTS.</b> Title and record series number changed to GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST). Merged record series GAF-063-070 and GAF 083 into series GAF-023.	11/20/2013
<b>GAF-064</b>	<b>PAYROLL REGISTER.</b> Merged into GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST).	11/20/2013
<b>GAF-065</b>	<b>DEDUCTION REGISTER.</b> Merged into GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST).	11/20/2013
<b>GAF-066</b>	<b>UNION RECONCILIATION REPORT.</b> Merged into GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST).	11/20/2013

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<b>GAF-067</b>	<b>QUARTERLY SUMMERY REPORT.</b> Merged into GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST).	11/20/2013
<b>GAF-068</b>	<b>ANNUAL (FISCAL YEAR) PAYROLL FUNDING REPORTS.</b> Series Deleted. Per Division of Accounting/PHRST, Record is no longer used. Information used in GAF-068 was merged into GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST).	11/20/2013
<b>GAF-069</b>	<b>PAYROLL EXPENDITURES BY APPROPRIATION.</b> Merged into GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST).	11/20/2013
<b>GAF-070</b>	<b>EMPLOYEE DICTIONARY (SSN/ALPHA).</b> Merged into GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST).	11/20/2013
<b>GAF-071</b>	<b>FORM W5.</b> Record series number changed to GAF-024. Corrected series description and changed retention to Retain at agency four years; successful audit; destroy.	11/20/2013
<b>GAF-072</b>	<b>PAYROLL CLAIM FORM (PC-1) REPORTS.</b> Record series deleted. Per Division of Accounting, this information is entered and maintained in the PHRST system and is available on demand.	11/20/2013
<b>GAF-073</b>	<b>DEDUCTION CONTROL REGISTERS (DCR-1).</b> Record series deleted. Per Division of Accounting, this information is entered and maintained in the PHRST system and is available on demand.	11/20/2013
<b>GAF-074</b>	<b>ATTENDANCE CONTROL REGISTERS (ACR).</b> Record series deleted. Per Division of Accounting, this information is entered and maintained in the PHRST system and is available on demand. Legacy records retention: Retain at agency 3 years, successful audit destroy and Use GAF-023.	11/20/2013
<b>GAF-075</b>	<b>PAYROLL ATTENDANCE CLAIM FORMS (AC-1).</b> Record series deleted. Per Division of Accounting/PHRST, Record is no longer used.	11/20/2013
<b>GAF-076</b>	<b>AC-1 NOTIFICATION FORMS.</b> Title and record series number changed to GAF-025 Attendance Claim Notification Form (AC-1).	11/20/2013
<b>GAF-077</b>	<b>PERSONNEL ACTION REQUESTS (PAR3, PAR4).</b> Record series deleted. Records maintained in Personnel Record-Series GPR-005 Personnel Record, Departmental, in the State General Personnel Retention Schedule.	11/20/2013
<b>GAF-078</b>	<b>HEALTH CARE DISCREPANCY REPORTS.</b> Record series deleted. Per Division of Accounting/PHRST, Record is no longer used.	11/20/2013
<b>GAF-079</b>	<b>MERIT SYSTEM SALARY UPDATES.</b> Record series deleted. Per Division of Accounting, this information is entered and maintained in the PHRST system and is available on demand to the agencies.	11/20/2013
<b>GAF-080</b>	<b>VENDOR COVERSHEETS.</b> Record series deleted. This series is currently on the Division of Accounting/First State Financials (FSF) retention schedule; this record is no longer used at agency level. (Current RG1460 record series XFAP-015).	11/20/2013
<b>GAF-081</b>	<b>CYCLE FUNDING ADJUSTMENT REPORTS.</b> Record series deleted. This series is currently on the Division of Accounting/First State Financials (FSF) retention schedule; this record is no longer used at agency level. (Current RG1460 record series XFAP-010).	11/20/2013
<b>GAF-082</b>	<b>CYCLE FUNDING ADJUSTMENT UPDATE REPORTS.</b> Record series deleted. This series is currently on the Division of Accounting/First State Financials (FSF) retention schedule; this record is no longer used at agency level. (Current RG1460 record series XFAP-010).	11/20/2013

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<b>GAF-083</b>	<b>INSURANCE DEDUCTION LOAD REPORT.</b> Merged into GAF-023 Payroll Human Resource Statewide Technology Reports (PHRST).	11/20/2013
<b>GAF-084</b>	<b>VENDOR REFERENCE GUIDES.</b> Record series deleted. This series is currently on the Division of Accounting/First State Financials (FSF) retention schedule; this record is no longer used at agency level. (Current RG1460 record series XFAP-014).	11/20/2013
<b>GAF-085</b>	<b>PROFESSIONAL SERVICE CONTRACTS.</b> Merged into GAF-030 Procurements.	11/20/2013
<b>GAF-086</b>	<b>WAGE ATTACHMENTS (GARNISHMENTS).</b> Record series deleted. This record is currently managed by Office of Management and Budget/PHRST. Agencies are instructed to forward these records directly to OMB/PHRST for action and maintenance.	11/20/2013
<b>GAF-087</b>	<b>IRS LEVIES.</b> Record series deleted. This record is currently managed by Office of Management and Budget/PHRST. Agencies are instructed to forward these records directly to OMB/PHRST for action and maintenance.	11/20/2013
<b>GAF-088</b>	<b>CASH ADJUSTMENTS (CA).</b> Combined into GAF-008.	11/20/2013
<b>GAF-089</b>	<b>FIXED ASSET REPORTS.</b> Record series number changed to GAF-029.	11/20/2013
<b>GAF-090</b>	<b>EXCEPTION REPORTS.</b> Record series number changed to GAF-019.	11/20/2013
<b>GAF-091</b>	<b>FIRST STATE FINANCIAL (FSF) REPORTS.</b> Merged into GAF-013 and renamed Ad Hoc reports.	11/20/2013



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<b>Record Series</b>	<b>Title and explanation of actions taken</b>	<b>Date Changed</b>
<b>GAR-001</b>	<b>POLICY AND PROGRAM RECORDS (PRIMARY MISSION FILES).</b> Description Revision, removed reference to Annual Reports as it duplicates guidance provided in record series GAR-0014	08/01/2017
<b>GAR-002</b>	<b>ADMINISTRATIVE SUPPORT RECORDS.</b> Record series description modified to add content and explanation of items contained in the Series. Retention changed to retain at agency 1 year; destroy. The following record series were merged into GAR-002 to remove duplicated guidance: Transitory Records (GAR-003), Suspense Files (GAR004), Tracking and Control Logs (GAR-005), Telephone Logs (GAR-023), Sign-In/Visitor Control Logs (GAR-024), Key Accountability Logs (GAR-026), Lists/Directories (GAR-027). Confidentiality statement added to Financial Documents that could jeopardize the security of a location and Personnel Data to protect a person's information.	08/01/2017
<b>GAR-003</b>	<b>TRANSITORY RECORDS.</b> Record series merged into record series GAR-002: Administrative Support Records.	08/01/2017
<b>GAR-004</b>	<b>SUSPENSE FILES.</b> Record series merged into record series GAR-002: Administrative Support Records	08/01/2017
<b>GAR-005</b>	<b>TRACKING AND CONTROL RECORDS.</b> Record series merged into record series GAR-002: Administrative Support Records	08/01/2017
<b>GAR-007</b>	<b>MINUTES OF OFFICIAL STATE COMMITTEES, COMMISSIONS, BOARDS, COUNCILS AND TASK FORCES.</b> Record series title description modified to further define and add content and explanation to items contained in the series. Task Force records were added to the record series.	08/01/2017
<b>GAR-007A</b>	<b>OPEN MEETING MINUTES.</b> New Subseries. Added note for additional posting requirements (See Note #5 in Agency notes)	08/01/2017
<b>GAR-007B</b>	<b>EXECUTIVE SESSION MINUTES.</b> New Subseries. Added requirement to note confidential status that applies to meeting minutes that are closed to the public as provided by state law and described in 29 Del. C. § 10004(f). These records will be transferred and maintained separately from GAR-007A: Open Meeting Minutes.	08/01/2017
<b>GAR-007C</b>	<b>AUDIO AND VIDEO RECORDING (formerly Verbatim Recordings GAR-010).</b> Record series title changed and became a sub-series of GAR-007: Minutes of Official State Committees, Commissions, Boards, Councils and Task Forces due to the similar nature of the records.	08/01/2017
<b>GAR-008</b>	<b>AGENCY STAFF AND INTERNAL COMMITTEE MEETINGS (formerly Agency Staff Meetings).</b> Record series title and description modified to add content and explanation of items contained in the series. Record series GAR-009: Internal Committee and Conference Files, was merged into this record series to remove duplicated guidance.	08/01/2017
<b>GAR-009</b>	<b>INTERNAL COMMITTEE AND CONFERENCE FILES.</b> Record series merged into record series GAR-008: Agency Staff And Internal Committee Meetings.	08/01/2017
<b>GAR-010</b>	<b>VERBATIM RECORDINGS (STENOGRAPHIC, AUDIO, OR VIDEO).</b> Record series merged into record series GAR-007: Minutes Of Official State Committees, Commissions, Boards, Councils and Task Forces as record series GAR-007C. <i>Record series number GAR-010 shall not be used again for any other series.</i>	08/01/2017

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<b>GAR-011</b>	<b>STATE AND FEDERAL GUIDELINES.</b> Record series merged into record series GAR-016: Reference Material.	08/01/2017
<b>GAR-012</b>	<b>DIRECTIVES, MANUALS, AND HANDBOOKS.</b> Record series merged into record series GAR-015: Agency Publications. Removed the directive that the “Archives will harvest it electronically,” from the retention and disposition instructions. <i>Record series number GAR-012 shall not be used again for any other series.</i>	08/01/2017
<b>GAR-013</b>	<b>ADMINISTRATIVE RULES AND REGULATION RECORDS (formerly Rules and Regulations).</b> Record series title and description updated to reflect appropriate usage and additional statutory reporting requirements.	08/01/2017
<b>GAR-014</b>	<b>ANNUAL REPORTS.</b> Removed the directive that the “Archives will harvest it electronically,” from the retention and disposition instructions.	08/01/2017
<b>GAR-015</b>	<b>AGENCY PUBLICATIONS.</b> Record series description modified to add content and explanation of items contained in the series. Record series GAR-012: Directives, Manuals, and Handbooks, was merged to remove duplicated guidance. Removed the directive that the “Archives will harvest it electronically,” from the retention and disposition instructions.	08/01/2017
<b>GAR-016</b>	<b>REFERENCE MATERIAL.</b> Record series description modified to add content and explanation of items contained in the series. Record series GAR-011: State And Federal Guidelines, was merged to remove duplicated guidance.	08/01/2017
<b>GAR-017</b>	<b>LEGISLATION DEVELOPMENT RECORDS (formerly Legislation (Agency Files)).</b> Record series title and description updated to reflect appropriate usage.	08/01/2017
<b>GAR-018</b>	<b>EXECUTIVE ORDERS, PROCLAMATIONS, RESOLUTIONS AND LEGISLATIVE ADVISORIES (formerly Executive Orders, Proclamations and Legislative Advisories).</b> Record series title and description updated by adding two subseries to reflect appropriate usage.	08/01/2017
<b>GAR-018A</b>	<b>ISSUED BY THE OFFICE OF THE GOVERNOR. New subseries.</b> These documents are records created and published by the Officer of the Governor. Retention instructions: Retain at agency until superseded or no longer needed; destroy.	08/01/2017
<b>GAR-018B</b>	<b>ISSUED BY OTHER GOVERNING BODIES. New Subseries.</b> These documents are records created and published other governing bodies and organizations within state government. Retention instruction: Transfer copy to the Archives for permanent preservation.	08/01/2017
<b>GAR-019</b>	<b>LEGAL OPINIONS (formerly Attorney General's Opinions).</b> Record series title and description updated to reflect appropriate usage.	08/01/2017
<b>GAR-020</b>	<b>PUBLIC RELATION RECORDS (formerly Public Relation Files).</b> Record series title and description updated to reflect appropriate usage.	08/01/2017
<b>GAR-021</b>	<b>AFFIDAVITS OF PUBLICATION (Formerly Legal Advertisements).</b> Record series title and description updated to reflect appropriate usage. Retention changed to Retain at agency 2 years; destroy.	08/01/2017
<b>GAR-023</b>	<b>TELEPHONE LOGS.</b> Record series merged into record series GAR-002: Administrative Support Records.	08/01/2017
<b>GAR-024</b>	<b>SIGN-IN/VISITOR CONTROL LOGS.</b> Record series merged into record series GAR-002: Administrative Support Records.	08/01/2017
<b>GAR-025</b>	<b>INCIDENT REPORTS.</b> Record series description modified to clarify information contained in the series.	08/01/2017

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<b>GAR-026</b>	<b>KEY ACCOUNTABILITY FILES.</b> Record series merged into record series GAR-002: Administrative Support Records.	08/01/2017
<b>GAR-027</b>	<b>LISTS/DIRECTORIES.</b> Record series merged into record series GAR-002: Administrative Support Records.	08/01/2017
<b>GAR-031</b>	<b>EQUIPMENT AND VEHICLE MAINTENANCE AND OPERATION RECORDS (formerly Vehicle Operation Files).</b> Record series description modified to add content and explanation of items contained in the series. Record series GAR-032: Equipment Maintenance Files and GAR-033: Warranty Files were merged to into GAR-031 due to similar functions and to remove duplicated guidance.	08/01/2017
<b>GAR-032</b>	<b>EQUIPMENT MAINTENANCE FILES.</b> Record series merged into record series GAR-031: Equipment and Vehicle Maintenance and Operation Records.	08/01/2017
<b>GAR-033</b>	<b>WARRANTY FILES.</b> Record series merged into record series GAR-031: Equipment and Vehicle Maintenance and Operation Records.	08/01/2017
<b>GAR-034B</b>	<b>RECORDS MANUAL.</b> Record Series deleted to remove duplicated guidance from record series GAR-015: Agency Publications	08/01/2017
<b>GAR-034B</b>	<b>DESTRUCTION NOTICES (formerly GAR-034C).</b> Retention increased to retain at agency permanently. This guidance corresponds with the requirement to retain transfer records permanently as will assist agencies with accountability of their records management program.	08/01/2017
<b>GAR-034C</b>	<b>TRANSFER DOCUMENTS (Formerly GAR-034D).</b>	08/01/2017
<b>GAR-034D</b>	<b>RECORD SERIES INVENTORY FORMS (formerly GAR-034E).</b> Retention increased to retain at agency permanently. This guidance will assist agencies with accountability and history of their records management program.	08/01/2017
<b>GAR-034E</b>	<b>RECORD SERVICES FORM. New Series.</b> Retain at Agency 5 years; Destroy.	08/01/2017
<b>GAR-034F</b>	<b>ADMINISTRATIVE MATERIALS.</b> Record Series deleted to remove duplicated guidance from record series GAR-002: Administrative Support Records and GAR-015: Agency Publications.	08/01/2017
<b>GAR-034F</b>	<b>RECORDS OFFICER &amp; AUTHORIZED AGENT APPOINTMENT FORMS. New Series.</b> Retain at Agency 3 years; Destroy	08/01/2017
<b>GAR-035</b>	<b>FORM DEVELOPMENT RECORDS (formerly Form Files).</b> Record series title and description updated to reflect appropriate usage.	08/01/2017
<b>GAR-036</b>	<b>PHOTOGRAPHS.</b> Record series description modified to clarify information contained in the series.	08/01/2017
<b>GAR-037</b>	<b>GRAPHIC ARTS RECORDS (formerly Graphic Arts Files).</b> Record series title and description updated to reflect appropriate usage.	08/01/2017
<b>GAR-038D</b>	<b>SECURITY SURVEILLANCE RECORDINGS (formerly Security Monitoring Recordings).</b> Record series title and description updated to reflect appropriate usage. Retention changed to: Retain at agency 90 days or for the maximum length of time allowed by the recording system if longer; destroy or reuse. <b>Note:</b> retention of incident videos: Retain until all investigations or litigation involving the recordings are completed.	08/01/2017

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<b>GAR-039</b>	<b>DISASTER PLANNING AND RECOVERY RECORDS (formerly Disaster Planning and Recovery Files).</b> Record series title and description updated to reflect appropriate usage. Retention increased to Retain at agency permanently and update as needed; transfer copy of agency COOP Plan to Archives using record series GAR-001: Policy and Programs for permanent preservation.	08/01/2017
<b>GAR-040 A-F</b>	<b>FREEDOM OF INFORMATION ACT (FOIA) RECORDS.</b> Record series description modified and several series merged into Request and Response Records to clarify information contained in the series. GAR-040A; Granting Access to All Requested Records merged into GAR-040A Request and Response Records GAR-040B. Denied Access to All or Portions of the Records Requested merged into GAR-040A Request and Response Records GAR-040C. Non-existent records, etc. merged into GAR-040A Request and Response Records GAR-040D. Control/Log Files. Title and series number changed to Control Log Records GAR-040B	08/01/2017
<b>GAR-040A</b>	<b>REQUEST AND RESPONSE RECORDS. New Subseries.</b> This series documents requests from the public and the agency's response for access to public records in accordance with the state Freedom of Information Act. Retention changed to Retain at agency 3 years after date of reply or conclusion of any appeal; destroy.	08/01/2017
<b>GAR-040B</b>	<b>CONTROL LOG RECORDS. (formerly Control/Log Files GAR-040D)</b> Records maintained for control purposes in documenting the agency's response to requests. Retention changed to retain at agency 5 years after last entry, 5 years after final action by the agency or final adjudication by the courts, whichever is later; destroy.	08/01/2017
<b>GAR-040E</b>	<b>ADMINISTRATIVE FILES.</b> Record Series deleted to remove duplicated guidance from record series GAR-002: Administrative Support Records.	08/01/2017
<b>GAR-040F</b>	<b>REPORT FILES.</b> Record Series deleted to remove duplicated guidance from record series GAR-014: Annual Reports.	08/01/2017
<b>GAR-041</b>	<b>PRIVACY ACT REQUEST FILES.</b> Record series deleted as the federal code specifically identifies the applicability of this Act resides with the federal government.	08/01/2017
<b>GAR-042A</b>	<b>APPOINTMENTS REFLECTED IN MINUTES. New Subseries.</b> Document appointments of persons to committees, commissions, task forces and other advisory groups reflected in the Official minutes of State Committee's, Commissions, Boards, Councils and Task Forces. This record series <u>does not</u> include records of the Official Appointments, Resignations or Removals records made by the Office of the Governor	08/01/2017
<b>GAR-042B</b>	<b>APPOINTMENTS NOT REFLECTED IN MINUTES. New Subseries.</b> Document appointments of persons to committees, commissions, task forces and other advisory groups reflected not captured in the Official minutes of State Committee's, Commissions, Boards, Councils and Task Forces. This record series <u>does not</u> include records of the Official Appointments, Resignations or Removals records made by the Office of the Governor	08/01/2017
<b>GAR-042C</b>	<b>APPLICATIONS. New Subseries.</b> Documents the appointment applications of persons to committees, commissions, task forces and other advisory groups. Retention to be retained at agency 2 years after conclusion of appointment process; destroy.	08/01/2017
<b>GAR-042D</b>	<b>RESIGNATION AND REMOVAL LETTERS. New Subseries.</b> Documents the resignation or removal of persons from committees, commissions, task forces and other advisory groups. Retention to be retained at agency until no longer needed; transfer to Archives for permanent preservation.	08/01/2017
<b>GAR-043</b>	<b>AGENCY TRAINING PROGRAM FILES. New Series.</b> This series documents training and certifications conducted by state government personnel for state or local government agencies. Two new subseries were developed for Training Program Records (GAR-043A) and Training Certification Records (GAR-043B).	08/01/2017

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<b>GAR-043A</b>	<b>TRAINING PROGRAM RECORDS. New Subseries.</b> This series documents training courses or programs conducted by state government personnel for state or local government agencies. Retention Retain at agency 3 years; destroy.	08/01/2017
<b>GAR-043B</b>	<b>TRAINING CERTIFICATION RECORDS. New Subseries.</b> This series documents training received for certifications, licenses and On-the-Job training that are required for state agencies and their employees.	08/01/2017
<b>GAR-044</b>	<b>AGENCY PROPERTY INVENTORY RECORDS. New Series.</b> This series documents records relating to inventories of buildings, real estate, equipment, furniture, vehicles, and other capital assets. Retention: retain at agency 3 years; destroy.	08/01/2017
<b>GAR-045</b>	<b>POSTAL RECORDS. New Series.</b> This series documents the agency's incoming and outgoing mail (letters, packages, etc.). Retention: retain at agency 2 year; destroy.	08/01/2017
<b>GAR-046</b>	<b>LITIGATION RECORDS. New Series.</b> This series documents litigation cases involving the agency. Retention: retain at agency 10 years after the close of the case; destroy.	08/01/2017

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<b>Record Series</b>	<b>Title and explanation of actions taken</b>	<b>Date Changed</b>
<b>GPR-001</b>	<b>UNSUCCESSFUL APPLICATIONS FOR EMPLOYMENT.</b> Series description modified to add content and explanation of items contained in the Series. Retention changed to Retain at agency 3 years or until the final disposition of any legal action, destroy, to meet federal requirements	06/08/2016
<b>GPR-001</b>	<b>UNSUCCESSFUL APPLICATIONS FOR EMPLOYMENT.</b> Added additional statutory reference for confidentiality	05/02/2019
<b>GPR-002</b>	<b>JOB ANNOUNCEMENTPOSTINGS.</b> Retention changed to Retain at agency 1 year from date position filled; destroy.	06/08/2016
<b>GPR-003</b>	<b>REFERRAL LISTS.</b> (Formerly Recruitment Listings). Title and description updated to reflect current usage. Merged GPR-005E Certification Lists into GPR-003 as it is a duplicate function. Retention changed to Retain at agency 3 years or until the final disposition of any legal action, destroy, to meet federal requirement.	06/08/2016
<b>GPR-004</b>	<b>LISTING OF AUTHORIZED POSITIONS (LAP) REPORTS.</b> Record series deleted. Record Series obsolete. The Office of Management and Budget, Human Resources Division, maintain the original record. Agencies may review convenience copies located within the Payroll Human Resource Statewide Technology (PHRST) system as needed	06/08/2016
<b>GPR-004</b>	<b>ATTENDANCE AND LEAVE REQUESTS.</b> New Series. GPR-005B and GPR-005C merged. Description and Retention Instructions updated:	06/08/2016
<b>GPR-004</b>	<b>ATTENDANCE AND LEAVE REQUESTS.</b> Subseries GPR-004A and 004B were merged into GPR-004 to provide clarity as to the use of 004A and B. Added additional statutory reference for confidentiality.	05/02/2019
<b>GPR-004A</b>	<b>ATTENDANCE AND LEAVE REQUESTS. A. Requests for Leave:</b> This series documents the request by employees to be absent from work. This series may contain information noting: department, employee, division, pay period ending, types of leave, date of requested leave, total hours, signature of applicant and date, signature of approving officer, approval date and other documents supporting the leave request. Retain at agency 3 years; successful audit; destroy. Retention changed to 3 years and successful audit because of statutory requirements as well as being required as supporting documents for state financial audits.	06/08/2016
<b>GPR-004A</b>	<b>ATTENDANCE AND LEAVE REQUESTS. A. Requests for Leave.</b> Subseries changed to just reflect GPR-004. To provide clarity as to the use of records.	05/02/2019
<b>GPR-004B</b>	<b>ATTENDANCE AND LEAVE REQUESTS. B. Attendance and Leave, Cumulative:</b> Attendance cards/forms used to record employee attendance and leave data for an annual or biennial period. Shows days, annual /sick leave earned/ taken each month, total leave accumulated and similar related information. Retain in GPR-005Personnel Record, Departmental.	06/08/2016
<b>GPR-004B</b>	<b>ATTENDANCE AND LEAVE REQUESTS. B. Attendance and Leave, Cumulative.</b> Subseries removed and merged back into GPR-004 as an administrative note as these records are a part of record series GPR-005, Personnel Records Departmental	05/02/2019
<b>GPR-005</b>	<b>PERSONNEL RECORD, DEPARTMENTAL.</b> Series description modified to add content and explanation of items contained in the Series. Retention Instructions changed to Retain at agency 3 Years after termination; purge per approved purging list; transfer to State Records Center for 47 years, destroy. (Prior Retention was 30 years).	06/08/2016

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<b>GPR-005</b>	<b>PERSONNEL RECORD, DEPARTMENTAL.</b> Added content to the Personnel File (Blue File) to include signed policy acknowledgments, employee user agreements, confidentiality statements, Authorized Driver Designation, Education and Tuition Reimbursements, donated leave program records, and an additional statutory reference for confidentiality	05/02/2019
<b>GPR-005A</b>	<b>SUCCESSFUL APPLICANTS.</b> Record series deleted. All information is included in series description no additional instructions are required.	06/08/2016
<b>GPR-005B</b>	<b>REQUESTS FOR LEAVE.</b> Record series merged into GPR-004: Attendance and Leave Requests.	06/08/2016
<b>GPR-005C</b>	<b>ATTENDANCE AND LEAVE, CUMULATIVE.</b> Record series merged into GPR-004: Attendance and Leave Requests.	06/08/2016
<b>GPR-005D</b>	<b>RECOMMENDATIONS / COMMENDATIONS.</b> Record series deleted. All information is in series description no additional instructions required.	06/08/2016
<b>GPR-005E</b>	<b>CERTIFICATION LISTS.</b> Record series merged into GPR-003: Referral Listings.	06/08/2016
<b>GPR-005F</b>	<b>DISCIPLINE.</b> Record series deleted; All information is in series description no additional instructions required.	06/08/2016
<b>GPR-005G</b>	<b>PERFORMANCE PLANS / REVIEWS.</b> Record series deleted; All information is in series description no additional instructions required	06/08/2016
<b>GPR-005H</b>	<b>BENEFITS.</b> Record series merged into GPR-020: Employee Medical Record.	06/08/2016
<b>GPR-005I</b>	<b>EMPLOYMENT ELIGIBILITY VERIFICATION FORMS (FORM I-9)</b> Record series number changed to series GPR-010. Retention changed to meet federal standard as it is significantly shorter than 50 years required for the Departmental Personnel File.	06/08/2016
<b>GPR-006</b>	<b>PERSONNEL RECORD, SUB-DEPARTMENTAL.</b> Description updated to reflect current usage.	06/08/2016
<b>GPR-006</b>	<b>PERSONNEL RECORD, SUB-DEPARTMENTAL.</b> Added an additional statutory reference for confidentiality	05/02/2019
<b>GPR-007</b>	<b>GRIEVANCES.</b> Description updated to reflect current usage. Retention changed to Retain at agency 10 years after final disposition or resolution of grievance.	06/08/2016
<b>GPR-007</b>	<b>GRIEVANCES.</b> Added an additional statutory references for confidentiality and retention	05/02/2019
<b>GPR-008</b>	<b>CLASS AND POSITION HISTORY FOLDERS</b> (formerly GPR-008 Class History Folders). Title changed, description updated to reflect current usage. Series merged with GPR-009 Position History Files and GPR-010 PAR-1 Files.	06/08/2016
<b>GPR-008</b>	<b>CLASS AND POSITION HISTORY FOLDERS</b> Changed reference of the department that maintains the permanent copy of the record series from the Office of Management and Budget to the Department of Human Resources.	05/02/2019
<b>GPR-009</b>	<b>POSITION HISTORY FILES.</b> Record series deleted. Merged into GPR-008 Class and Position History Folders.	06/08/2016
<b>GPR-009</b>	<b>CRIMINAL HISTORY RECORD INFORMATION (CHRI).</b> New Series. This series documents criminal background information obtained and required to make employment and personnel decisions. This series includes records that document identifiable descriptions and notations of arrests, detentions,	06/08/2016

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indictments, information or other formal criminal charges, and any disposition arising therefrom, sentencing, correctional supervision and release. NOTE: Criminal History Record Information is not to be retained in the Departmental Personnel Record (GPR-005).

<b>GPR-009</b>	<b>CRIMINAL HISTORY RECORD INFORMATION (CHRI).</b> Added an additional statutory references for confidentiality.	05/02/2019
<b>GPR-009A</b>	<b>CRIMINAL HISTORY RECORD INFORMATION (CHRI). A. In-State Information:</b> Criminal History Record Information (CHRI) obtained from the Delaware State Police/State Bureau of Identification's Criminal Justice Information System (CJIS). Retention: Retain at Agency for 5 years or until the final disposition of any legal action, whichever is later; destroy	06/08/2016
<b>GPR-009B</b>	<b>CRIMINAL HISTORY RECORD INFORMATION (CHRI). B. Out-Of-State Information:</b> Criminal History Record Information (CHRI) obtained from the Federal Bureau of Investigation National Crime Information Center (NCIC) or National Instant Criminal Background Check System (NICS). NOTE: Out-Of-State Information must be shredded onsite and conducted or witnessed by authorized personnel. Retention: Retain at Agency for 5 years or until the final disposition of any legal action, whichever is later; destroy.	06/08/2016
<b>GPR-010</b>	<b>PAR-1 FILES.</b> Record series deleted. Merged into GPR-008 Class and Position History Folders. The PAR-1 is no longer used. Records related to the specific position are merged with GPR-008 Class/Position History Files. Personnel action requests are retained in GPR-005: Personnel Record, Departmental.	06/08/2016
<b>GPR-010</b>	<b>EMPLOYMENT ELIGIBILITY VERIFICATION FORMS (FORM I-9).</b> New series. Record series GPR-005I changed to series GPR-010 as the retention of this record is limited and is significantly shorter than 50 years required for the Departmental Personnel File.	06/08/2016
<b>GPR-010</b>	<b>EMPLOYMENT ELIGIBILITY VERIFICATION FORMS (FORM I-9).</b> Federal retention instruction for this record was updated in 2017, this update changes the retention of the record to its former period of: Retain at agency 3 years after date of separation of service; destroy. Added an additional statutory reference for confidentiality.	05/02/2019
<b>GPR-011</b>	<b>TIME ENTRY RECORDS</b> (formerly Attendance Sheets; Time Entry Reports). Description and retention instructions updated to reflect current usage.	06/08/2016
<b>GPR-011</b>	<b>TIME ENTRY RECORDS</b> Added an additional statutory reference for confidentiality.	05/02/2019
<b>GPR-012</b>	<b>AFFIRMATIVE ACTION PLANS AND REPORTS</b> (formerly Affirmative Action Files). Description and retention instructions updated: two subseries added to provide retention clarity.	06/08/2016
<b>GPR-012A</b>	<b>AFFIRMATIVE ACTION PLANS AND REPORTS A. Program Plans and Reports:</b> This series documents the State's participation in the various federal and state equal employment opportunity/affirmative action programs. This series includes facility accessibility records, statistical data, plans and reports (EEO-1/EEO-4) required by federal statute. Retention: Retain at agency 5 federal fiscal years; destroy.	06/08/2016
<b>GPR-012A</b>	<b>AFFIRMATIVE ACTION PLANS AND REPORTS A. Program Plans and Reports.</b> Changed reference of the department that maintains the permanent copy of the record series from the Office of Management and Budget to the Department of Human Resources.	05/02/2019
<b>GPR-012B</b>	<b>AFFIRMATIVE ACTION PLANS AND REPORTS B. Equal Opportunity Complaint Files:</b> This series documents activities regarding complaints of discrimination filed with the agency, Delaware Department of Labor (DDOL) or the Federal Equal Opportunity Commission (EEOC). This series contain contains the initial compliant, supporting documentation, investigative notes, documents, recordings, or other information presented by any party involved in the investigation, findings, and determination, and/or resolution of the complaint. Retention: Retain at agency 4 years after resolution of case; destroy.	06/08/2016



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<b>GPR-012B</b>	<b>AFFIRMATIVE ACTION PLANS AND REPORTS B. Equal Opportunity Complaint Files.</b> Changed reference of the department that maintains the permanent copy of the record series from the Office of Management and Budget to the Department of Human Resources.	05/02/2019
<b>GPR-013</b>	<b>COLLECTIVE BARGAINING RECORDS.</b> Record series updated to reflect current usage: Retention change to Retain at agency for duration of contract plus 3 years. NOTE: Agencies must verify that the record copy has been sent to the State Office of Management and Budget, Labor Relations Division.	06/08/2016
<b>GPR-013</b>	<b>COLLECTIVE BARGAINING RECORDS.</b> Changed reference of the department that maintains the permanent copy of the record series from the Office of Management and Budget to the Department of Human Resources and the confidentiality requirement and note: Attention: Records related to the actual labor negotiations and collective bargaining are confidential per 29 <i>Del. C.</i> § 10002(l)(8)	05/02/2019
<b>GPR-014</b>	<b>EMPLOYEE IDENTIFICATION CARDS / BADGES.</b> Description updated to reflect current usage	06/08/2016
<b>GPR-015</b>	<b>WORKERS' COMPENSTATION RECORDS.</b> Series merged with GPR-016, First Report of Occupational Injury or Illness to reflect current usage and similarity of information. Retention changed to Retain at agency until employee separates from state service or transfers to another state agency; merge into GPR-020, Employee Medical Record.	06/08/2016
<b>GPR-015</b>	<b>WORKERS' COMPENSTATION RECORDS.</b> Added an additional statutory reference for confidentiality.	05/02/2019
<b>GPR-016</b>	<b>FIRST REPORT OF OCCUPATIONAL INJURY OR ILLNESS.</b> Merged into GPR-015 Workers' Compensation Records to reflect current usage and similarity of information.	06/08/2016
<b>GPR-017</b>	<b>MATERIAL SAFETY DATA SHEETS (MSDS).</b> This series contains the Material Safety Data Sheets (MSDS) for each hazardous substance, which is also to be identified on the agency's Workplace Chemical List (GPR-018). Information includes the chemical hazard and safe handling information.	06/08/2016
<b>GPR-017</b>	<b>SAFETY DATA SHEETS (SDS).</b> This series name changed to reflect updated name of the form. Formerly known as Material Safety Data Sheets (MSDS)	05/02/2019
<b>GPR-018</b>	<b>WORKPLACE CHEMICAL LIST</b> (formerly Chemical Information List). Name changed to align with industry and statute standards. Description updated to more accurately reflect usage. Retention changed from retain at agency 10 years to retain at agency 30 years per state and federal statute.	06/08/2016
<b>GPR-019</b>	<b>RIGHT TO KNOW HAZARDOUS CHEMICAL TRAINING PROGRAM RECORDS.</b> Retention changed to retain at agency's Human Resources Office in GPR-005 Personnel Record, Departmental.	06/08/2016
<b>GPR-020</b>	<b>EMPLOYEE MEDICAL RECORD</b> (formerly Medical Records). Description updated to reflect current usage and merged record series GPR-005H Benefits into this series. Retention Changed to retain at agency 3 years after separation; transfer to State Records Center for 47 years, destroy.	06/08/2016
<b>GPR-020</b>	<b>EMPLOYEE MEDICAL RECORD.</b> Description updated to reflect current usage. Added clarification as to how drug test records are to be maintained based on how they were ordered: <ul style="list-style-type: none"> <li>• Non-HIPAA documentation of drug and alcohol tests are those tests required and ordered by the state as part of initial employment screening and periodic testing to insure the employee is capable of performing safety sensitive functions, etc.</li> <li>• HIPAA documentation of drug and alcohol tests are those tests ordered by a medical professional that are necessary to identify and or treat a medical condition, etc.</li> </ul>	05/02/2019

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<b>GPR-021</b>	<b>VOLUNTEER RECORDS.</b> New series for volunteers and unpaid interns that assist state agencies. Retention: Retain at agency 5 years; destroy. Note: The records for volunteers that support programs that are funded by federal or state grant will be retained in accordance with that grant program and/or Agency Specific Retention Schedule.	06/08/2016
<b>GPR-021</b>	<b>VOLUNTEER RECORDS.</b> Changed record series name to <b>VOLUNTEER AND CONTRACTUAL EMPLOYEE RECORDS</b> . Added additional record requirements to retain various agreement and acceptable use documentation issued to the contractual employees of employment agencies working at state facilities. Clarified retention requirements to read: Retain at agency 5 years after separation; destroy.	05/02/2019
<b>GPR-022</b>	<b>EXIT INTERVIEW RECORDS. New Record Series.</b> Records documenting interviews of employees departing from state service. May include employee interview questions and responses, correspondence, data compilations, and other documents used to identify and track trends in workforce satisfaction.	05/02/2019
<b>PURGE LIST: GPR-005</b>	<b>DEPARTMENTAL PERSONNEL RECORD:</b> Removed the “To Be Retained” portion of the purge list. The purge list indicates those items that should be removed and destroyed from the official record as recommended by the State Office of Management and Budget, Human Resource Management division.	06/08/2016
<b>PURGE LIST: GPR-005</b>	<b>DEPARTMENTAL PERSONNEL RECORD.</b> Clarified guidance as to the documents that should be removed and disposition instructions requested. Added disposition instructions: Drug and Alcohol test results that are older than five (5) years from the date tested.	05/02/2019