DELAWARE
PUBLIC ARCHIVES

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A USER'S GUIDE TO THE RECORD SERIES INVENTORY FORM

A record series inventory is the first step in developing or modifying a record retention schedule and developing an effective records management program. The assigned records officer or experienced staff member will conduct the inventory as they are most knowledgeable about the agency and its records. The Record Inventory identifies and describes records held by your state or local government agency. All records should be inventoried regardless of their format, and a separate form is required for each record series. Please note that a record series is not document-by-document, but instead it is a group of related documents that are arranged or kept together as a unit because they relate to the same subject.

INSTRUCTIONS FOR SPECIFIC ENTRIES

1. *Record Group:* List the unique four-digit number issued to your agency by the Delaware Public Archives.

2. *Agency/Division/Section:* List the name of the agency (highest level in organization) and the Division or Section.

3. *Contact Person/Telephone Number/Email:* List the name of the individual completing the inventory form, along with their telephone number and email address.

4. *Mailing Address:* List the mailing address for the location of records.

5. *Action Requested:* Use the drop down menu to select the action requested.

6. *Current Record Series Number:* List the record series number, as is appears in the retention schedule, for the record your agency is requesting to modify.

7. *Current Record Series Title:* List the current title of the record, as it appears in the retention schedule.

8. *New Record Series Number:* This field will be completed by staff at the Delaware Public Archives.

9. *New Record Series Title:* List the title used by the agency to identify the record.

10. *Description of Records:* Clearly describe the records by including the creator and user(s) the record; the function (why the record exists); the purpose it serves; and the content (what type of information and/or forms are included in the file (copies of driver's licenses, SSN, applications, etc.).

11. *Frequency of Use:* List the action or event (settlement of case, expiration of contract, graduation, etc.) that closes a file, and list how often the files are accessed after closure and the point in which they are no longer accessed by agency staff.

12. *Arrangement:* Identify the filing scheme by which the records are organized. Some typical schemes include:

    a) Alphabetically by last name
    b) Alphanumeric by case number
    c) Chronologically by meeting date
    d) Numerically by contact number

13. *Value of Records:* Please select all that apply.

    Administrative - Records that support the mission of your agency and are used to conduct daily operations.

    Fiscal - Records that are used to document financial transactions (accounting, budgets, vouchers, etc.).

    Historical – Records that provide evidence of government functions and/or contain information that is of enduring value to the public (annual reports, deeds minutes, ordinances, resolutions, etc.).

    Legal – Records that provide proof of government authority or business transactions and citizen rights (legal opinions, financial agreements, contracts, property records, etc.).

14. *Media Type:* A record may be available in multiple formats, please select all that apply.

15. *Are these records vital?* An agency is responsible for identifying which of their records are vital. A 'vital record', also known as an essential record or mission critical record, is defined as records required by an agency to operate during and after an emergency and that protect the health, safety, property, and rights of citizens. These records must be identified and protected to ensure that they can be easily retrieved in the event of a disaster to allow agencies to restore business functions and operations as quickly as possible.

16. *Can the same information be found within any other records or agencies?* This section identifies other agencies that may use a copy of these records. If so, are these records identified by another name? Who maintains the official or "record" copy, or are both agencies required to maintain a copy to support their functions?

17. *Are the records confidential records?* Select whether or not the records are confidential and cite all the federal and state statutes, regulations and agency directives that determine a records confidentiality status. Please note that access restrictions may apply to the entire record or to portions of the record.

18. *What statutes, regulation or research was used to determine your retention recommendation?* List all applicable federal and/or state laws, executive orders, administrative rules or policies that govern retention.

19. *What are the retention times you are recommending for your agency, the Records Center, and what is the final disposition?* List the duration the record will be maintained at the agency, the records center, and the final disposition (archival or destroy). Please note that active and frequently accessed records must be maintained at the agency.

20. *Comments:* Use this portion of the form to additional comments that are pertinent.

21. *Signature of Agency Records Officer or Agency Head:* The agency head or the assigned records officer for the agency will review the quality of the inventory results and sign and date the bottom of the form after the collaboration is completed.

INSTRUCTIONS FOR SUBMISSION

After the form is completed, the records officer will email the form, along with any supporting documents to their assigned records analysts. Please note that agencies are required to retain the record series inventory form in accordance with the State Agency Record Retention Schedule.