Department of Transportation

Retention Schedule

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TABLE OF CONTENTS

A. Introduction

B. Schedule Format

C. Index to Record Series (by Series Number)

D. Agency Specific Records Retention Schedule

E. Benefits of Records Management

F. Helpful Hints For Records Management

G. Audits and Statutory Requirements

H. Non-Record Material

I. Glossary of Records Management Terms

J. Records Management Online Resources

A. INTRODUCTION

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

Contained within this document are the approved General Records Retention Schedules that list the records commonly used by the Department of Transportation.

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

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

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

B. SCHEDULE FORMAT

Below is as explanation of the format of the Records Retention Schedule**:**

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

C. INDEX TO RECORD SERIES

FINANCE

MONTHLY STATUS OF STATE FUNDS	FMB-005
FEDERAL FUNDS RECORDS	FMB-006
INVENTORY RECORDS	FMB-008
CONTINGENCY MANAGEMENT TEAM REPORTS (PROJECT DEVELOPMENT COMMITTEE MINTUES)	FMB-009
WORKING FILES FOR PUBLICATIONS	FMB-011
PROJECT FILES	FMB-014
FEDERAL TRANSIT ADMINISTRATION (FTA) SUBJECT FILES	FMB-015
FEDERAL RAILROAD ADMINISTRATION (FRA) SUBJECT FILES	FMB-016
FEDERAL AVIATION ADMINISTRATION (FAA) SUBJECT FILES	FMB-017
BOND SALES FILES	FMB-020
TRANSPORTATION TRUST FUND (TTF) ACCOUNTING MONTHLY REPORT	FMB-022
ANNUAL WORKING FILES	FMB-023
PUBLIC PRIVATE PARTNERSHIP (PR3) PROJECT FILES	FMB-024
STATE INFRASTRUCTURE BANK (SIB) PROJECT FILES	FMB-025
SMALL RETAIL GASOLINE STATION LOAN PROGRAM (SRGSLP) PROJECT FILES	FMB-026
TRUST FUND STATEMENTS	FMB-027
TRUST FUND MONTHLY ACCOUNT BALANCE	FMB-028
LEASE FILES	FMB-029
ARBITRAGE FILES	FMB-030
TRAFFICE AND REVENUE STUDY	FMB-032
AGREEMENTS; TOWNS, UTILITY, RAILROAD, CONSULTANT AND TWO-PARTY	OAF-002
CONTRACT, MATERIAL AND EQUIPMENT	OAF-004
FRANCHISE AGREEMENTS	OAF-007
DAMAGE TO STATE PROPERTY	OAF-018
THIRD PARTY BILLING (TRANSPORTATION BILLS)	OAF-019
OUTDOOR ADVERTISING	OAF-023
SMYRNA REST AREA RECORDS	OAF-024
CONTRACT ADMINISTRATION	
CONSULTANT AGREEMENT FILES	ADM-015
PROFESSIONAL SERVICES AGREEMENTS	ADM-016
CONSULTANT REGISTRATION REPORT (ALPHABECTICAL FILES)	ADM-017
MONTHLY REPORTS	ADM-018
CONSTRUCTION CONTRACTS	ADM-019
AGREEMENTS AND CONTRACTS/CONTRACT FILES	ADSS-001

CONTRACTS CARD FILE	ADSS-005
SUPPORT SERVICES	
MONTHLY REPORTS	ADM-018
INTRA-DEPARTMENTAL TRANSFER FORMS	ADSS-004
MATERIAL SAFETY DATA SHEETS (MSDS)	SS-003
CHEMICAL INFORMATION LISTS (CIL)	SS-004
RIGHT TO KNOW PROGRAM	SS-005

HUMAN RESOURCES

LABOR RELATIONS	
DOT AND NON-DOT (SAFETY SENSITIVE) DRUG AND ALCOHOL TESTING	LR-001

MAINTENANCE AND OPERATIONS

ESTIMATES	CTF-001
3RD PARTY AGREEMENTS	CTF-002
SUBDIVISION ENTRANCE SIGNS	CFT-003
ABOVE GROUND AND UNDERGROUND STORAGE TANK	HOBM-003
WORK ORDERS	HODO-001
WORK ORDER LOGBOOK	HODO-002
SAND BARREL PROGRAM	HODO-003
OVERTIME REQUEST FORMS	HODO-004
ADOPT A HIGHWAY APPLICATIONS	HODO-006
SUBURBAN DEVELOPMENT FILES	HODO-013
MAINTENANCE CONTRACTS AND CONTRACTUAL/SURVEY	HODO-014
CONSULTANT MAINTENANCE CONTRACTS	HODO-015
CONSTRUCTION PLANS	HODO-016
RESIDENTIAL AND COMMERCIAL ACCESS PERMITS/WAIVER	HODO-017
ROADSIDE STAND ENTRANCE PERMITS	HODO-018
TEMPORARY ENTRANCE PERMITS	HODO-019
USED CAR SALES ENTRANCE PERMITS	HODO-020
UTILITY PERMITS	HODO-021
PROJECT NUMBERS FOR ACCOUNTING PURPOSES	HODO-022
BILLING TO THE ARMY CORP OF EMGINEERS	HODO-023
SUBDIVISION PERMIT RECORDS	HODO-026
MATERIAL SAFETY DATA SHEETS (MSDS)	HODO-028
EQUIPMENT INSTRUCTIONAL MATERIALS	HODO-029
PURCHASE ORDERS AND QUOTES FOR SMALL CONTRACTS	HOEO-006

NATIONAL POLLUTION DISCHARGE ELIMINATION SYSTEM, NOTICE OF INTENT	HOFS-001
STORM WATER PROGRAM FILES	HOFS-002
FINAL INSPECTION REPORTS	HOFS-003
SUBJECT FILES	HOFS-005
DRAINAGE COMPLAINTS	HOFS-006
PROJECT FILES	HOFS-008
RIGHT OF WAY AGREEMENTS	HOFS-009
DGITAL MEDIA FILES	HOFS-010
CLAIMS	HOFS-011
CHEMICAL INVENTORY LISTS (CIL)	HOS-009
VEHICLE AND EQUIPMENT LISTS	HOTE-006
HIGHWAY LIGHTING INSPECTION	HOTE-024

MOTOR VEHICLE

ADMINISTRATION AND AUDIT	
PRIVACY ACT FORMS	ADM-001
REGISTRATIONS BY COUNTY/REGISTRATION INSERT GUIDE	MA-001
ANNUAL FISCAL REPORTS	MA-002
REVENUE REPORTS	MA-003
TRANSACTION REPORTS	MA-004
CASH COLLECTION REPORTS	MA-005
CASH MACHINE TAPES	MA-006
BAD CHECK FILES	MA-007
CORRESPONDENCE AND DRIVER'S LICENSE	
CORRESPONDENCE	
FINANCIAL RESPONSIBILITY JUDGEMENT SUSPENSION FILES	MC-001
CORRESPONDENCE FILES	MC-002
DRIVER'S LICENSE	
ORGINIAL DRIVER LICENSE APPLICATIONS	ML-001
DENIED LICENSE APPLICATIONS	ML-002
LICENSE RENEWAL APPLICATIONS	ML-003
DUPLICATE LICENSE APPLICATIONS	ML-004
RELINQUISHED DRIVER LICENSES	ML-005
LEARNER'S PERMIT FILES	ML-006
IDENTIFICATION CARD APPLICATIONS	ML-007
SCHOOL BUS DRVIER RECORDS	XML-001
UNUSED LICENSE NUMBERS	XML-002

MOTORCYCLE RIDER EDUCATION PROGRAM	
PROGRAM FILES	MM-001
DRIVER IMPROVEMENT	
SUSPENSION FILES	MDI-001
REVOCATION FILES	MDI-002
HEARING SCHEDULING FILES	MDI-003
ADMINISTRATIVE HEARING TAPES	MDI-004
TRAFFICE VIOLATIONS	MDI-005
MEDICAL FILES	MDI-006
COMMERCIAL DRIVER LICENSE DISQUALIFICATION FILES	MDI-007
FRAUD AND INVESTIGATION UNIT	
INVESTGATION REPORT	FIU-001
DEALERSHIP'S INSPECTION REPORTS	FUI-002
MOTOR FUEL TAX	
INTERNATIONAL FUEL TAX AGREEMENT FILES (IFTA)	MFT-009
INTERNATIONAL REGISTRATION PLAN FILES (IRP)	MFT-011
INTERNATIONAL FUEL TAX AGREEMENT (IFTA) JURISDICTIONAL FILES AND INTERNATIONAL REGISTRATION PLAN (IRP) JURISDICTIONAL TRANSMITTAL FILES	MFT-012
DAILY AND MONTHLY DEPOSIT RECORDS	MFT-014
PRESS RELEASE	MFT-015
DIRECT ACCESS PROGRAM APPLICATIONS	MFT-017
MOTOR FUEL SPECIAL FUEL	
MF/SF LICENSE APPLICATION FILES	MFT-002
MF/SF ACCOUNT FILES	MFT-003
BANKRUPTCY FILES	MFT-006
REFUND CLAIN FILES	MFT-008
DAILY AND MONTHLY DEPOSIT RECORDS	MFT-014
FUEL TRACER REPORTS	MFT-016
AUDIT CASE FILES	MFTA-001
AUDIT CARDS	MFTS-002
AUDIT ADDRESS REPORTS	XMFTA-001
AUDIT LOCATION REPORTS	XMFTA-002
TOLL OPERATIONS	
SENIOR LEADER'S CORRESPONDENCE FILES	MO-001
SECTION FILES	HOD-004
LEGISLATVE FILES	HOD-005
EXTERNAL CORRESPONDENCE	HOD-006

BANK TRUST STATEMENTS	DTAF-001
CANCELLED CHECKS	DTAF-002
SPECIAL FUND REQUISTIONS	DTAF-003
VENDOR FILES	DTAF-004
NON-REVENUE ACCOUNT RECORDS	DTAF-005
AGNECY BILLING RECORDS –EZ PASS	DTAF-006
SMYRNA REST AREA RECORDS	DTAF-007
COLLECTOR'S DAILY REPORT	DTAT-001
RETURNED TOLL TICKETS	DTAT-002
TOLL TRANSACTIONS	DTAT-003
EZ PASS CORRESPONDENCE	TOEZ-001
VEHICLE SERVICES	
VEHCILE INSPECTION REPORTS	MR-001
REGISTRATION TAX RECEIPT FILES	MR-002
VEHICLE DEALER APPLICATIONS	MR-003
DEALER NOTIFICATIONS	MR-004
TEMPORARY TAG FILES	MR-005
VEHICLE REASSIGNMENT FILES	MR-006
RECYCL/DISPOSAL FILES	MR-007
GROSS VEHICLE WEIGHT REGISTRATIONS	MR-008
REGISTRATION FILES	XMR-001
DEALER RENEWALS/LEDGERS	XMR-002
TITLES	
TITLE APPLICATION FILES	MT-001
STOLEN VEHICLE FILES	MT-002
POWER OF ATTORNEY FORMS	MT-003
LIEN REGISTERS	MT-004
SALVAGE CERTIFICATES	MT-005
TITLE BRAND STATEMENTS	MT-006
UNINSURED MOTORIST	
AUDIT CASE FILES	MUM-001
AUDIT CASE LOG	MUM-002

OFFICE OF THE SECRETARY

SECRETARY'S FILES	SEC-001
SECRETARY'S BLUE COPIES	SEC-002
AGREEMENTS	SEC-003

ST. GEORGE'S BRIDGE FILES	SEC-004
MONTHLY REPORTS	SEC-005
FINANCIAL DOCUMENTS	SEC-009
CHIEF ENGINEER'S GENERAL FILES	SEC-010
CHIEF ENGINEER'S BLUE COPIES	SEC-011
APPLICATION FOR COMPRESSED WORK WEEK	SEC-012
ASSISTANCE CHIEF ENGINEER'S GENERAL FILES	SEC-013
COUNCIL ON TRANSPORTATION FILES	EA-006
AUDIT	
EXTERNAL AUDTI REPORTS	ADM-011
INTERNAL AUDIT REPORTS	ADM-012
MUNICIPALITY AUDTI REPORTS	ADM-014
DBE CIVIL RIGHTS	
CONSULTANT REGISTRATION REPORT	ADM-017
MONTHLY REPORTS	ADM-018
ISAVANTAGED BUSINESS ENTERPROSES (DBE) CONTRACT FILES	ADM-020
DBE APPLICATION FOR CERTIFICATION FILES	ADM-021
COMPLIANCE REVIEW	ADM-022
LEGAL AFFAIRS	
LIGIGATION CASE FILES	LEG-001
FREEDOM OF INFORMATION FILES	LEG-002
DIVISION "A TO Z" FILES	LEG-004
LEGAL COUNSEL OFFICE CORRESPONDENCE (BLUE COPIES)	PLAN-003
SPECIAL COUNSEL FILES	PLAN-004
SPECIAL COUNSEL CLAIMS HEARING FILES	PLAN-005
PUBLIC RELATIONS	
LEGISLATIVE PUBLIC OFFICIALS FILES	EA-002
DIVISIONAL GENERAL FILES	EA-003
FINANCIAL INFORMATION FILES	EA-004
PHOTOGRAPHIC NEGATIVE FILE	EA-007
PHOTOGRAPHIC SLIDES	EA-008
PROJECT RELATED FILES	EA-010
GRAPHIC ARTS FILES	EA-011
PUBLICATION PHOTOGRAPH FILES	EA-012
NEWSCLIPPING FILES	EA-013
VIDEO RECORDING FILES	EA-014
SOUND RECORDINGS AND TRANSCRIPTIONS	EA-015

PLANNING

DIRECTOR'S SUBJECT FILES	PLAN-001
DIRECTOR'S CORRESPODENCE (BLUE COPIES)	PLAN-002
AGREEMENTS	PLAN-008
MOTOR VEHICLE ACCIDENT REPORTS AND ACCIDENT REPORTS	PLAN-012
MAP FILES	PLAN-013
MUNICIPLE STREET AID PROGRAM FILES	PLAN-014
RESEARCH PROGRAM FILES	PLAN-016
ANNUAL WORK PROGRAM FILES	PLAN-017
TRANSPORTATION ENHANCEMENT PROGRAM COMMITTEE MINUTES	PLAN-019
JOINT AGENCY QUARTERLY REVIEW MEETIGN MINUTES	PLAN-020
TRANSPORTATION ENHANCEMENT PROGRAM	PLAN-022
TRAFFIC IMPACT STUDIES	PLAN-030
PRELIMINARY TRAFFIC ANALYSIS FILES	PLAN-031
DEALWARE BICYCLE COUNCIL FILES	PLAN-033
STATEWIE BICYCLE AND PEDESTRAIN PLANNING FILES	PLAN-034
CORRIDOR PLANNING PROJECT STUDIES	PLAN-036
AERONAUTICS OFFICE	
AREONAUTICS GENERAL FILES	PLAN-037
INTERMODAL PROGRAM FILES	PLAN-038
CHRONOLOGICAL FILE	PLAN-039
CONTRACTS/PROJECT FILES	PLAN-040
METROPOLITAN PLANNING ORGANIZATION CONTRACTS	PLAN-041
PRESENTSTION MATERIAL	PLAN-042
REPORTS	PLAN-043
UNFUNDED PROPOSALS	PLAN-045
TRAFFICE FORECAST FILES	PLAN-049
TRANSPORTATION AND CORRIDOR STUDIES PROJECT FILES	PLAN-050
RECORDATION RECOVERY PROJECT	RRP-001
SUBDIVISION PROJECT FILES	SU-001

TRANSPORTATION SOLUTIONS

CONTRACT FILES-CONSTRUCTION	AD-003
AGREEMENTS FILES AND COMPHREHENSIVE FILE CONSTRUCTION	AD-008
SUBJECT FILES-BRIDGE DESIGN ENGINEER	BD-001
BRIDGE DESIGN AND MANAGEMENT CONTRACTS AND AGREEMENTS	BD-002

BRIDGE INSPECTION FILES	BD-003
SUBJUECT FILES-DESIGN SERVICES	DS-001
SUBJECT FILES-ENVIRONMENTAL STUDIES MANAGER	ESM-001
DIRECTOR’S AND ASSISTANT DIRECTOR’S CORRESPONDENCE FILES	HOD-001
SECTION FILES	HOD-004
LEGISLATIVE FILES	HOD-005
EXTERNAL CORRESPONDENCE	HOD-006
CONTRACT FILES-CONSTRUCTION/EXPRESSWAYS	HOEC-001
TRAFFICE CONTROL TRAINING MATERIALSSAFETY	HOS-001
SAFETY INSPECTION REPORTS	HOS-003
SHOP INSPECTION REPORTS	HOS-004
RIGHT TO KNOW PROGRAM	HOS-005
MATERIALS SAFETY DATA SHEETS	HOS-006
DEFENSIVE DRIVING TRAINING SHEETS	HOS-007
FLAGGER TRAINING PROGRAM	HOS-008
CHEMICAL INFORMATION LIST	HOS-009
MONTHLY WORK PROGRESS REPORTS-SUPPORT SERVICES ADMINISTRATOR	HOTE-001
CONSOLIDATED TRAFFIC MONTHLY REPORT	HOTE-002
HIGHWAY LACATION FILES	HOTE-003
SIGNAL AGREEMENTS	HOTE-004
TOWN AGREEMENTS	HOTE-005
VEHICLE AND EQUIPMENT LISTS	HOTE-006
SUBJECT FILES-MATERIALS AND RESEARCH ENGINEER	MR-001
REAL ESTATE PROJECT FIELS	RE-002
LEASES	RE-005
AIRSPACE AGREEMENTS	RE-006
USE/CUSTODY AGREEMENTS	RE-007
CHIEF AND ASSISTANT CHIEF ENGINEER’S GENERAL FILES	SEC-010
CHIEF ENGINEER’S BLUE COPIES	SEC-011
APPLICATIONS FOR COMPRESSED WORK WEEK	SEC-012
SUBJECT FILES-SUPPORT SERVICES ADMINISTRATOR	SSA-001
SUBDIVISION PROJECT FILES	SU-001
UTILITY PROJECT FILES	SU-002
HAULING PERMITS AND BLOCK HAULING PERMITS	MFT-013
DAILY AND MONTHLY DEPOSIT RECORDS	MFT-014

D. DEPARTMENT OF TRANSPORTATION
AGENCY SPECIFIC
RECORDS RETENTION SCHEDULE

Schedule Name	Revision Date
Delaware Transit Corporation	6/17/2002
Finance	1/16/2015
Finance-Contract Administration	1/27/2015
Finance-Support Services	1/27/2015
Human Resources-Labor Relations	1/27/2015
Maintenance and Operations	1/27/2015
Motor Vehicle-Administration and Audit	6/15/2005
Motor Vehicle-Correspondence and Driver's License	12/11/2012
Motor Vehicle-Driver Improvement	6/15/005
Motor Vehicle-Fraud and Investigation Unit	10/29/2013
Motor Vehicle-Motor Fuel Tax	7/11/2013
Motor Vehicle-Toll Operations	2007
Motor Vehicle-Vehicle Services	4/29/2013
Office of the Secretary	2/14/2007
Office of the Secretary-Audit	1/27/2015
Office of the Secretary-DBE Civil Rights	1/27/2015
Office of the Secretary-Legal Affairs	1/27/2015
Office of the Secretary-Public Relations	2/14/2007
Planning	1/27/2015
Transportation Solutions	1/5/2015

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
	FTA DRUG AND ALCOHOL PROGRAM			
DAT-001	**EMPLOYEES (POLICY FILES)** Policy statements, employee acknowledgement receipts, revisions to policies, reasons for revisions **A. Master Policy Log** 1. Effective date of policy 2. Date of Governing Board Approval 3. Employee Distribution Date 4. Employee Receipt Acknowledgement 5. New Hire Receipt Acknowledgement 6. Reason for Revision **B. Attachments** **1. Current Policy** a. Policy Statement b. Effective Date c. Documentation of Governing Board Approval (Resolution/Minutes) d. Master Roster of Covered Employees e. Employee Receipt Acknowledgements f. New Hire Receipt Acknowledgements **2. Previous Policies** a. Previous Policies with Effective Dates b. Master Roster of Employees that Correspond to Effective Dates c. Documentation of Governing Board Approval d. Reason for Revisions e. Employee Receipt Acknowledgements f. New Hire Receipt Acknowledgements	**CONFIDENTIAL**	Retain at agency 2 years; destroy. Or Termination of employment; destroy. 49 CFR 40 49 CFR 600-699	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-002	**TRAINING DOCUMENTATION** Training schedule, type of training, training instructors, and list of attendees **A. Master Log of Training** 1. Training Dates 2. Training Type (i.e., Supervisory Reasonable Suspicion, Employee Awareness) 3. Format of Training 4. Trainer 5. Attendees **B. Attachments** 1. Training Agenda with Major Topics and Schedule Time Delineated 2. Instructor 3. Format 4. Roster of Attendees by Date 5. Materials Used 6. Notification of Hotline Numbers 7. Copies of Information Displayed or Handed Out with Dates of Distribution	**CONFIDENTIAL**	Retain at agency 2 years; destroy Or Termination of employment; destroy. 49 CFR 40 49 CFR 655.71	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-003	**VENDOR CREDENTIALS** Vendor certification, collection sites, laboratory information, other pertinent information. **A. Master Log of Collection Sites** **1. Collection Sites** a. Name of Collection Site b. Location of Collection Site c. Hours of Collection Services d. Contract term **2. Attachments** a. Contract b. Other Documentation Provided **B. Master Log of Laboratories** **1. Laboratory (Primary Analysis)** a. Name of Laboratory b. Location of Laboratory c. DHHS Certification Date d. Certifying Scientist e. Contract Term **2. Laboratory (Split Specimen)** a. Name of Laboratory b. Location of Laboratory c. DHHS Certification Date d. Certifying Scientist e. Contract Term **3. Attachments** a. DHHS Certifications b. Contracts c. Other Documentation Provided **C. Master Log of Medical Review Officers** **1. Medical Review Officer(s) (MRO)** a. Name of MRO b. Address and telephone Number of MRO c. Medical License Date d. Contract Term	**CONFIDENTIAL**	Retain at agency 5 years; destroy 49 CFR 40 49 CFR 655.71	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-003 (Cont.)	**2. Attachments** a. Copy of License b. Contract c. Other Certifications or Credentials (Associations, Training, etc) d. Other Documentation as Provided (Procedures, Checklists, etc.) **D. Master Log of Substance Abuse Professionals** **1. Substance Abuse Professional(s) (SAP)** a. Name b. Address and Telephone Number c. Type of License or Certification d. Date of License or Certification e. Contract Term **2. Attachments** a. Copy of SAP License or Certification b. Contract c. Other Certifications or Credentials (Associations, Training, etc) d. Other Documentation as Provided (Procedures, Checklists, etc.) **E. Master Log of Breath Alcohol Technicians** **1. Breath Alcohol Technician(s)** a. Name b. Address and Telephone Number c. Date(s) of training d. Course of Training e. Equipment Make/Model Demonstrated Proficiency f. Calibration Method Demonstrated Proficiency g. Contract Term **2. Attachments** a. Copy of Training Documentation (Initial and Refresher) b. Contract c. Other Certifications or Credentials d. Other Documentation as Provided (Procedures, Checklists, etc.) **F. Master Log of Alcohol Testing Devices** **1. Evidential Breath Testing Devices** a. Make/Model of Each Unit b. Location of Each Unit c. Period of Utilization	**CONFIDENTIAL**	Retain at agency 5 years; destroy 49 CFR 40 49 CFR 655.71	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-003 (Cont.)	**2. Non-Evidential Testing Devices** a. Make and Model of Each Testing Device b. Screen Test Technician Name(s) c. Period of Utilization **3. Attachments** a. Log of EBT External Calibration Checks b. Quality Assurance Plan or Reference to Location	**CONFIDENTIAL**	Retain at agency 5 years; destroy 49 CFR 40 49 CFR 655.71	**6/17/2002**
DAT-004	**MIS REPORTS** **A. Annual MIS Reports** 1. Supporting Documentation		Retain at agency 5 years; destroy. 49 CFR 40.26	**6/17/2002**
DAT-005	**CONTRACTOR OVERSIGHT** **A. Master Log of Each Safety-Sensitive Contractor** 1. Contact Person 2. Location 3. Safety-Sensitive Job Function Performed 4. Contract Stipulations **B. Documentation for Each Safety-Sensitive Contractor** 1. Policy Statement with Date and Governing Board Approval 2. Safety-Sensitive Employee Training Documentation 3. Supervisory Reasonable Suspicion Training Documentation 4. Name and Qualification of Vendors (i.e., Collection Sites, DHHS Certified Laboratories, Medical Review Officer, Substance Abuse Professional, Breath Alcohol Technician, Evidential Breath Testing Device Make and Model) 5. Random Selection Process 6. Compliance Checklist/Periodic Inspection 7. Recordkeeping Procedures 8. Corrective Actions Correspondence and Documentation	**CONFIDENTIAL**	Retain at agency 5 years; destroy. 49 CFR 40 49 CFR 655.71	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-006	**RANDOM SELECTION PROCESS** Methodology, documentation, other information used to determine selection for testing. A. Selection Methodology B. Master Number and Name Correlation Log C. Documentation of Scientific Validity of Method Used (i.e., Users Guide, Statistical Validation Tests, Manual Excerpts) D. Method of Replacement (Within Testing Period; Next Testing Period) E. Method of Determining Drug Test Only or Drug and Alcohol Test	**CONFIDENTIAL**	Retain at agency 2 years; destroy. 49 CFR 40 49 CFR 655.71	**6/17/2002**
	TESTING CATEGORY FILES			

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-007	**PRE-EMPLOYMENT RECORDS** **Records documenting pre-employment testing and other information filed by year** **A. Master Log of Pre-employment Tests in Chronological Order** 1. Name of Applicant 2. Date of Notification of test Requirement 3. Consent Form Completed 4. Chain of Custody and Control Form Completed 5. Test Result 6. Date Result Reported to Employer 7. Hire Date **B. Documentation Of Each Test In Chronological Order** **Individual testing results, position, dates.** **A. Individual Test Summary Sheet** 1. Applicant Name 2. Date of Application 3. Position Applied For 4. Safety Sensitive Job Function 5. Date of Notification 6. Date of Test 7. Test Result 8. Date of Employer Notification 9. Hire Date **B. Attachments** 1. Acknowledgement of Notification 2. Test Result Summary Form 3. Consent Form 4. Chain of Custody and Control Form (Standard USDOT Form)	**CONFIDENTIAL**	Retain at agency 5 years; destroy. Or Termination of employment; destroy. 49 CFR 40 49 CFR 655.71	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-008	**CHRONOLOGICAL RANDOM RECORDS FILES** **Documentation concerning random testing and results** **A. Master Log of Random Tests in Chronological Order** 1. Testing Period 2. Numbers/Names of Selected Individuals 3. Type of Test Conducted (Drug/Alcohol) 4. Date of Selection 5. Date and Time of Notification 6. Date and Time of test 7. Shift Placement 8. Reason If No Test Was Conducted 9. Test Result **B. Documentation of Each Test In Chronological Order** **1. Individual Test Summary Sheet** a. Name b. Number c. Date of Selection d. Test Type e. Date and Time of Notification f. Date and Time of Test g. Shift Time **2. Attachments** a. Test Result Summary Form (Collection Site, Collector, Breath Alcohol Technician, EBT Location, Test Result, Consequence) b. Consent Form c. Chain of Custody and Control Form (Standard USDOT Form)	**CONFIDENTIAL**	Retain at agency 5 years; destroy Or Termination of employment; destroy. 49 CFR 40 49 CFR 655.71	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-009	**POST-ACCIDENT TESTS** **Documents all accident information, test data and dates** **A. Master Log of All Accidents/Incidents** 1. Accident Identification Number 2. Employees Not Discounted as Contributing Factors 3. Date and Time of Accident 4. Date and Time of Notification 5. Date and Time of test 6. Reason If No Test Was Conducted 7. Test Result **B. Documentation of Each Test Filed in Chronological Order** **1. Individual Test Summary Sheet** a. Accident Identification Number b. Location of Accident c. Date and Time of Accident d. Date and Time Accident Reported e. Outcome of Accident (Fatality, Disabling Damage, Transport to Medical Treatment) f. Name of Safety-Sensitive Employees Involved With Accident g. Determination of Employees as Contributing Factors h. Test Decision i. Date and Time of Notification j. Date and Time of Test k. Test Result l. Explanation If Test Was Delayed or Not Conducted **2. Attachments** a. Test Result Summary Form (Collection Site, Collector, Breath Alcohol Technician, EBT Location, Test Result, Consequence) b. Consent Form c. Chain of Custody Form (Standard USDOT Form) d. Alcohol Test Form (Standard USDOT Form)	**CONFIDENTIAL**	Retain at agency 5 years; destroy. Or Retain in office until adjudication; destroy. Or Termination of employment; destroy.	**6/17/2002**
DAT-010	**REASONABLE SUSPICION RECORDS** **All documentation pertaining to reasonable suspicion scenario** **A. Master Log of All Reasonable Suspicion Records** 1. Name of Employee 2. Date and Time of Reasonable Suspicion Determination 3. Trained Supervisor	**CONFIDENTIAL**	Retain at agency 2 years; destroy. OR Termination of employment; destroy. 49 CFR 600-699	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
	4. Date and Time of Notification 5. Date and Time of test 6. Type of Test Conducted 7. Test Result **B. Documented Test Results Filed in Chronological Order** **1. Individual Test Summary** a. Name of employee b. Date and Time of Observation c. Safety Sensitive Function Being Performed at Time of Observation d. Circumstances of Observation e. Objective Facts Identified f. Date and Time of Determination g. Date and Time of Notification h. Date and Time of Test i. Type of Test Conducted j. Name of Supervisor(s) k. Date of Supervisor Reasonable Suspicion Training l. Test Result m. Additional Reasonable Suspicion Documentation **2. Attachments** 1. Test Result Summary Form (Collection Site, Collector, Breath Alcohol Technician, EBT Location, Test Result, Consequence) 2. Consent Form 3. Chain of Custody Form (Standard USDOT Form) 4. Alcohol Test Form (Standard USDOT Form)			
	INDIVIDUAL TEST RECORDS			
DAT-011	**POSITIVE TEST RESULTS** **Testing documentation** A. Test Results Summary Form B. Consent Form C. Chain of Custody and Control Form (Standard USDOT Form) D. Alcohol Test Form (Standard USDOT Form) E. EBT Calibration Documentation (Standard Manufacturer Form)	**CONFIDENTIAL**	Retain at agency 5 years; destroy. 49 CFR 600-699	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DAT-012	**EMPLOYEE DISPUTES** Documentation concerning employee disputes Employee Dispute Documentation	**CONFIDENTIAL**	Retain at agency 5 years or until resolution of dispute; destroy. 49 CFR 600-699	**6/17/2002**
DAT-013	**INSUFFICIENT VOLUME FILES** **Test results evaluation information.** **A. Insufficient Volume Verification** 1. Test Result Summary Form 2. Consent Form 3. Chain of Custody and Control Form with Insufficient Volume Noted (If Applicable) (Standard USDOT Form) 4. Alcohol Test Form with Insufficient Volume Noted (If Applicable) (Standard USDOT Form) 5. Medical Evaluation - Doctor Name, Telephone Number, Location, Date and Time of Examination 6. Result of Examination with Corresponding Documentation	**CONFIDENTIAL**	Retain at agency 2 years; destroy. 49 CFR 600-699	**6/17/2002**
DAT-014	**RETURN TO DUTY AND FOLLOW-UP TESTING** **Documentation concerning testing procedures and results** A. Initial SAP Assessment B. SAP Recommended Treatment Program C. SAP Assessment of successful Completion of Recommended Treatment Program Including Documentation D. Return to Duty Test 1. Test Result Summary Form 2. Consent Form 3. Chain of Custody and Control Form (Standard USDOT Form) 4. Alcohol Test Form (Standard USDOT Form) E. SAP Recommended Follow-up Schedule F. Follow-up Tests Corresponding to SAP Recommended Schedule 1. Test Result Summary Form 2. Consent Form 3. Chain of Custody and Control Form (Standard USDOT Form) 4. Alcohol Test Form (Standard USDOT Form)	**CONFIDENTIAL**	Retain at agency 5 years; destroy. 49 CFR 600-699	**6/17/2002**
	DEVELOPMENT			

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DDCS-001	**APPLICATIONS FOR PARATRANSIT SERVICE** Data to determine if applicant (public/customer) is eligible for the program (s) A. ADA B. SCAT C. Reduced Fare	**CONFIDENTIAL**	Retain at agency 5 years or until updated or discontinued; destroy. **Note:** Applications should be re-evaluated at least every 5 years or when there is a change in status.	**6/17/2002**
DDCS-002	**PHONE REPORTS** Generated by the ACD telephone system and provide data which is used for monthly reporting of Goals & Objectives to Finance Section. A. Daily B. Monthly		A. Retain at agency until monthly report is compiled; destroy. B. Retain at agency until report is made to Finance Section; destroy.	**6/17/2002**
DDCS-003	**AGENCY FAXES** A. Medicaid - Facsimile retained until financial reconciliation. B. Facsimiles from agencies booking trips on behalf of clients		A. Retain at agency; financial reconciliation; successful audit; destroy. B. Retain at agency until no longer needed; destroy.	**6/17/2002**
M-001	**MARKETING CORRESPONDENCE** Includes letters, memos, forms, entries, requests, and responses that have to do with the marketing of Delaware Transit Corporation		Retain at agency; successful audit; destroy.	**6/17/2002**
M-002	**PUBLIC RELATIONS FILES**		Please use General Administrative Retention Schedule	**6/17/2002**
M-003	**PUBLIC HEARING ANNOUNCEMENT**		Please use General Administrative Retention Schedule	**6/17/2002**
MOB-001	**JOB ACCESS REVERSE COMMUTE GRANT APPLICATION** Application from the Delaware's A Better Chance Welfare Reform Program (DABC) to receive Federal Aid to fund JARC projects		Retain at agency in accordance with prescribed guidelines established by the granter; successful final audit; destroy. FTA 5316, FTA 5317	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MOB-002	**SUBSCRIPTION SERVICE CONTRACT** Contracts with Delaware State Housing Authority Van Program		Retain at agency; termination of guarantee; successful audit; destroy.	**6/17/2002**
MOB-003	**BROCHURES** Printed material published by state agencies for distribution to the public. Includes schedules, advertisements, maps, etc		Transfer 2 copies to Delaware Public Archives upon publication for preservation.	**6/17/2002**
SPSA-001	**SERVICE CHANGE DECISION DOCUMENT** Documents any change made in service such as routes, time, etc.	**VITAL**	Retain at agency until FTA Triennial Review is completed; transfer to DelDOT Records Center (total retention is 7 years after successful audit); successful audit; destroy.	**6/17/2002**
SPSA-002	**RUNGUIDE AND ROUTE SCHEDULES** Documents routes, schedules, etc		Retain at agency 5 years; destroy.	**6/17/2002**
SPSA-003	**OPERATOR TRIP SHEETS** Provides each scheduled time point departure time by each driver run and tripper.		Retain at agency 5 years; destroy.	**6/17/2002**
SPSA-004	**RIDERSHIP REPORTS** Statistical reports of numbers, destinations, routes, etc., for riders.		Retain at agency until no longer needed; destroy.	**6/17/2002**
SPSA-005	**SPECIAL PERFORMANCE STUDIES** A study specific description involving any or all of the following: A. actual ridership (and related revenues by specified categories); B. ridership ratios or market share in contrast to market or planning objectives; C. operational requirements; D. actual service performance; E. Budgeted expense versus actual cost		Retain at agency 7 years; destroy.	**6/17/2002**
SPSA-006	**PUBLIC HEARING ROUTE PROPOSALS** Detail service changes for fixed route bus services, typically conducted twice a year, statewide per respective county; this information is presented to the public for comment.		Retain at agency 3 years; destroy.	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
SPSA-007	**SERVICE CHANGE PROPOSALS** Detail schedules and route alignments for fixed route bus services, typically conducted twice a year, statewide per respective county; this information is presented to the public for comment.		Retain at agency 3 years; transfer to DelDOT Records Center for 7 years; destroy.	**6/17/2002**
SPSA-008	**SERVICE PLANS** Detail statewide fixed route bus services; this is a budget driven document for the Delaware Transit Corporation and helps each internal section propose a budget for the upcoming fiscal year.		Retain at agency 3 years; transfer to Delaware Public Archives for permanent preservation.	**6/17/2002**
SPSA-009	**TITLE VI – Civil Rights Act of 1964** Reports every three years on transit service changes, expansions and growth in demographic areas of the county and state Title VI is to ensure fair and equitable public service transportation delivery to lower socioeconomic groups and minorities. It is to safeguard against discriminatory provision of transit services.		Retain at agency until updated; destroy.	**6/17/2002**
	FINANCE			
F-012	**NATIONAL TRANSIT DATABASE REPORTS** Information compiled for inclusion in the National Transit Database in order to qualify for federal funds. Includes backup material. Reports submitted yearly; filed on diskette with paper backup.		Retain at agency 3 years from date of submission of final report, or, for awards that are renewed quarterly or annually, from date of submission of quarterly or annual financial report, however, if any litigation, claim or audit is started before the expiration of the 3 year period, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken; successful audit; destroy 49 CFR 630	**6/17/2002**
F-013 **(A5)** **(A6)** **(ADM2)** **(FIN-002)**	**SECTION 15 - URBAN MASS TRANSPORTATION ADMINISTRATION (UMTA) TRIENNIAL REVIEWS** Triennial reports drawn from database for federal (FTA) grants. Consists of report with documentation Audited every three years A. Working Papers B. Findings Report		A. Retain at agency 2 years after federal audit; destroy. B. Retain at agency 10 years, audit; destroy. 49 CFR 600	**2/27/1982** **12/5/1983** **8/2/1989** **3/13/2000** **6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
F-018	**CAPITAL GRANTS FILES** Includes project authorization and funding form, recap of yearly expenditures, copies of invoices, payment vouchers, annual summary used to track state and federal money and how it is spent. Includes FTA grants A. Financial records, supporting documents and statistical records B. Annual Summary		A. Retain at agency 3 years from date of submission of final report, or, for awards that are renewed quarterly or annually, from date of submission of quarterly or annual financial report, however, if any litigation, claim or audit is started before the expiration of the 3 year period, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken; successful audit; destroy 49 CFR 600 B. Retain at agency; successful audit; destroy.	**6/17/2002**
F-022	**PENSION FILES** Record Copy Previous programs (DART contributing, non-contributing, salary; DAST CIGNA plan) will be combined into DTC pension program, but all are still in effect. Contains correspondence between DTC and pension groups and between DTC and pensioners; payroll register plan for some; confirmation of processing from CIGNA; audit reports, annual financial reports (1960s>) and actuarial reports for DART plans; monthly transactions reports for all; monthly performance reports (DART); and investment reports.	**CONFIDENTIAL VITAL**	Retain at agency permanently.	**6/17/2002**
F-025	**CORPORATE FILES** Files include federal ID number paperwork, articles of incorporation, corporate papers, business license, building leases, contracts, policies and procedures, papers on the foundation of the company and administrative references copies. Also includes record copies of insurance policies (worker's compensation, property, auto, general liability and crime protection), correspondence relating to financial transactions and program correspondence.	**VITAL**	Retain at agency until no longer needed for administrative purposes; successful audit; transfer to Delaware Public Archives for permanent preservation.	**6/17/2002**
	OPERATIONS			
OP-001	**DISPATCH LOGS**		**NO LONGER USED**	**3/10/1995**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
OP-002	**MANIFEST/DRIVER LOGS** Record of passenger trips by drivers Used to record all data (name, time, place, agency/sponsor, disability code, destination, billing zone information, inbound and outbound driver assignment) of all DAST trips Used to bill appropriate agencies for trips made	**CONFIDENTIAL**	Retain at agency 3 years; successful audit; destroy.	**8/1/1989** **8/13/1990** **3/10/1995** **6/17/2002**
OP-003	**TRANSIT TICKETS** Collected by drivers each day; documents tickets used Only numbered half of ticket is retained A. Fixed-Route B. Paratransit **NOTE: formerly CANCELLED HANDI-RIDE TICKETS**		Until updated; destroy	**8/1/1989** **6/17/2002**
OP-004	**PARATRANSIT CORRESPONDENCE** Details running of the program including inquiries, accounts, finance. **NOTE: formerly HANDI-RIDE CORRESPONDENCE**		Retain at agency 2 years; successful audit; destroy.	**8/1/1989** **6/17/2002**
OP-005	**DAILY MAINTENANCE SHEETS** Driver check-off sheets completed daily for each vehicle.		Retain at agency 1 year; destroy.	**8/1/1989** **6/17/2002**
OP-006	**VEHICLE WORK ORDERS** Documents the maintenance or repairs done on vehicles		Retain at agency for period of vehicle service; successful audit; destroy.	**8/1/1989** **6/17/2002**
OP-007	**SENIOR CITIZEN AFFORDABLE TAXI (SCAT) TICKETS** Tickets sold to eligible elderly and/or handicapped persons by participating taxi companies statewide. **NOTE:** Tickets are not validated and retain face value. Security of used and unused tickets is maintained at DART office. **NOTE: No longer kept by Operations. Responsibility and records moved to SSAF-021**		Retain at agency all used/invalidated tickets 1 month; remove monthly internal audit sampling; destroy remainder by shredding. Retain audit sample until successful audit; destroy by shredding.	**8/1/1989** **6/27/1991** **6/17/2002**
OP-008	**DISCIPLINARY LETTERS & MEMOS** Occurrences, miss outs, leaving garage early / late, and other miscellaneous memos	**CONFIDENTIAL**	Retain at agency 4 years, destroy	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
OP-009	**GRIEVANCES** Record of employee's dissatisfaction with working conditions Include reason for action, evidence against agency, responses and results of hearings.	**CONFIDENTIAL**	Retain at agency 3 years; transfer to State Records Center for 10 years; final disposition of charges; destroy. **Note:** Grievances should not be kept in Departmental Personnel Record, but in a separate file	**6/17/2002**
OP-010	**ARBITRATIONS** Documents relating to arbitration settlements and agreements		Retain at agency 10 years; successful audit; destroy.	**6/17/2002**
OP-011	**POSTED NOTICES** Notices posted at Monroe Street for FR and PTS drivers as well as supervisors.		Retain at agency until no longer needed; destroy.	**6/17/2002**
OP-012	**COLLECTIVE BARGAINING RECORDS** Contracts, correspondence, and details of negotiations	**CONFIDENTIAL**	Retain at agency 10 years; successful audit; destroy	**6/17/2002**
	SUPPORT SERVICES/SAFETY			
SS-001	**EMPLOYEE IDENTIFICATION CARDS / BADGES**		Please use the General Personnel Retention Schedule	**6/17/2002**
SS-002	**FIRST REPORT OF OCCUPATIONAL INJURY OR DISEASE**		Please use the General Personnel Retention Schedule	**6/17/2002**
SS-003	**MATERIAL SAFETY DATA SHEETS**		Please use the General Personnel Retention Schedule	**6/17/2002**
SS-004	**CHEMICAL INFORMATION LISTS (CIL)**		Please use the General Personnel Retention Schedule	**6/17/2002**
SS-005	**RIGHT-TO-KNOW HAZARDOUS CHEMICALS TRAINING PROGRAM RECORDS**		Please use the General Personnel Retention Schedule	**6/17/2002**
SS-006	**INCIDENT / ACCIDENT REPORTS**		Please use the General Personnel Retention Schedule	**6/17/2002**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MFT-014	**DAILY AND MONTHLY DEPOSIT RECORDS** Daily revenue reports collected from systems and compiled for monthly press release. Contain background for accountant. Daily and monthly reports are filed together. a. Public Carrier		Input to web-based database. Verify information and destroy paper records. Maintain records on database 4 years; successful audit; remove from system.	**12/2009**
PC-001	**PUBLIC CARRIER REGULATORY FILES** a. Annual Gross Revenue Return b. Applications c. Certificate of Public Convenience and Necessity d. Certificate of Compliance e. Correspondence f. Monthly Inspection Reports g. Revoked Accounts h. Trip & Maintenance Logs i. Public Hearing Transcripts j. Carrier's Annual Reports k. Extensions l. Revocation and Reviews of Driver's License for Taxi, Limousine, and Bus Companies	**CONF**	Scan records to digital system; verify; destroy paper documents; retain on system 5 years; successful audit; remove from system. 21 DE Code 47 49 CFR 300-399	**10/19/2011**

Agency Notes:

1. In 1994, the General Assembly created Delaware Transit Corporation to manage and operate DART along with the Delaware Administration of Specialized Transportation, Delaware Railroad Administration, and Commuter Services Administration.
2. Delaware Code
   a. 29 DE Code 5 State Government-State Archives and Historical Objects- Public Records
   b. 29 DE Code 100 State Government – General Regulations for State Agencies – Freedom of Information Act
   c. 6 DE Code 12A Commerce and Trade – Other Laws Relating to Commerce and Trade – Uniform Electronic Transactions Act
2. Federal Code
   a. 49 CFR 40 Transportation – Procedures for Transportation Workplace Drug and Alcohol Testing Programs
   b. 40 CFR 40.26 Transportation – Procedures for Transportation Workplace Drug and Alcohol Testing Programs-What form must an employer use to report Management Information System (MIS) data to a DOT agency
   c. 49 CFR 630 Transportation – Other Regulations Relating to Transportation(continued) – Federal Transit Administration – National Transit Database
   d. 49 CFR 655.71 Transportation – Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations – Administrative Requirements – Retention of Records
   e. 49 CFR 600-699 Transportation – Other Regulations Relating to Transportation(continued) – Federal Transit Administration
3. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
4. If data system replaces hard copy, the records have differing retention periods, and agency software does not readily permit selective deletion, then delete records after the longest retention period has expired.
5. Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
6. 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
7. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.
8. See also Model Guidelines for Electronic Records on DPA's website for additional guidance concerning the maintenance, and disposition of electronic records.

Notes: Retention Schedule Modification History

Series **Title and Explanation and action taken** **Retention** **Date of change**

THESE SEREIS BELOW ARE BEING DELETED BECAUSE THEY ARE OUT DATED OR THEY CAN BE FOUND WITHIN THE STATE GENERAL ADMINISTRATIVE RECORDS, ACCOUNTING AND FINANCE, PERSONNEL, ELECTRONIC SCHEDULE

A-001	**POLICY AND PROGRAM RECORDS**	**A-010**	**PUBLIC RELATIONS FILE**
A-002	**ADMINISTRATIVE SUPPORT RECORDS**	**A-011**	**INCIDENT REPORTS**
A-003	**SUSPENSE FILES**	**A-012**	**LISTS / DIRECTORIES**
A-004	**MINUTES OF OFFICIAL STATE COMMITTEES, COMMISSIONS, BOARDS, AND COUNCIL**	**A-013**	**SURVEYS / MAPS**
A-005	**AGENCY STAFF MEETINGS**	**A-014**	**ARCHITECTURAL & ENGINEERING PLANS / BLUEPRINTS**
A-006	**INTERNAL COMMITTEE AND CONFERENCE FILES**	**A-015**	**RECORDS MANAGEMENT FILES**

A-007	**STATE AND FEDERAL GUIDELINES**	**A-016**	**PHOTOGRAPHS**
A-008	**DIRECTIVES, MANUALS AND HANDBOOKS**	**A-017**	**MOTION PICTURES / VIDEO RECORDINGS / SOUND RECORDINGS**
A-009	**PUBLICATIONS, STATE**	**A-018**	**DISASTER PLANNING AND RECOVERY FILES**
F-001	**EXPENSE BUDGETS**	**F-016**	**PAYROLL TIME SHEETS**
F-002	**REVENUE BUDGETS**	**F-017**	**PAYROLL REGISTERS**
F-003	**PETTY CASH FUND SYSTEM**	**F-019**	**FIXED ASSETS MONTHLY SUMMARY**
F-004	**CONTRACT, AGREEMENTS AND LEASES**	**F-020**	**VIHICLE TITLES**
F-005	**BUDGET AND BUDGET DATA WORKSHEETS**	**F-021**	**SCAT PROGRAM COUPONS TICKETS AMD ENVELOPES**
F-006	**CONSTRUCTION DOCUMENTS FOR CAPITAL AND MINOR IMPROVEMENT PROJECTS**	**F-023**	**INDEPENDENT AUDIT REPORTS AND FINANCIAL STATEMENTS**
F-007	**STATEMENTS OF BUDGETARY ACTIVITY AND ACCOUNT BALANCES**	**F-024**	**OPERATING STATISTICS FOR ROUTE 100 SERIES**
F-008	**APPROPRIATION EXPENDITURES BY OBJECT CODE**	**F-026**	**MONTHLY FINANCIAL STATEMENT AND COMPARATIVE OPERATING STATEMENT**
F-009	**STATEMENT OF APPROPRIATIONS (MONTHLY APPROPRIATION BALANCES)**	**F-027**	**BACKUP FOR FINANCIAL STATEMENTS PREPARATION**
F-010	**BUDGETARY ACTIVITY REPORTS**	**F-028**	**TRANSIT TICKETS**
F-011	**CASH RECEIPTS AND REPORTS**	**F-029**	**TRANSIT STORE DAILY TOTAL SHEETS**
F-014	**ACCOUNTS RECEIVABLE**		
F-015	**ACCOUNTS PAYABLE**		

MOVED FROM MOTOR VEHICLE – MOTOR FUEL TAX SECTION

MFT-014 DAILY AND MONTHLY DEPOSIT RECORDS
PC-001 PUBLIC CARRIER REGULATORY FILES

STATE OF DELAWARE
DELAWARE PUBLIC ARCHIVES

Record Group: **1540**
Agency: **TRANSPORTATION**
Division: **FINANCE**

3/18/1983

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
FMB-001	**DIRECTOR'S CORRESPONDENCE FILES** Contain requests from the Secretary's Office and responses. **Policy and Program Records**		Please use the General Retention Schedule	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-001	**DIRECTOR'S CORRESPONDENCE FILES** **Administrative Support Records**		Please use the General Retention Schedule	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-001	**DIRECTOR'S CORRESPONDENCE FILES** **Transitory Files**		Please use the General Retention Schedule	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-005	**MONTHLY STATUS OF STATE FUNDS** Maintains current information concerning state funding for DelDOT projects and is used to post funding authorizations and program funds for individual projects on a daily basis.		Retain monthly reports at agency 10 years; successful audit; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-006	**FEDERAL FUNDS RECORDS** Maintains current balance of federal funds apportioned to DelDOT and is used to administer federal funds.		Retain files at agency 10 years; successful audit; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-008	**INVENTORY RECORDS** Division and section copies of inventory control form of the transfer, sale or surplus of items submitted to Support Services.		Retain at agency until completed; successful audit; destroy	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-009	**CONTINGENCY MANAGEMENT TEAM REPORTS (Project Development Committee Minutes)** Contingency Management Team serves to oversee and approve all DelDOT projects. Listing of approved transactions This office holds the record copy and serves as secretary for the committee.		Retain at agency 2 years; transfer to Delaware Public Archives for permanent preservation.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
FMB-010	**PUBLICATIONS** Capital Improvement Program, Work Program, Strategic Plan and Annual Budget Request copy of final publication		Please use the General Retention Schedule	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-011	**WORKING FILES FOR PUBLICATIONS** Notes, spreadsheets and emails are attached to the final product, which is filed. Final product (record) is filed at individual's workstation.		Retain at agency 2 years; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-013	**CORRESPONDENCE FILES OF ASSISTANT DIRECTORS & ADMINISTRATORS**		Please use the General Retention Schedule	**3/13/2000** **2005** **1/27/2006** **1/16/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
FMB-014 FMB-018 FMB-019 FMB-036	**PROJECT FILES** This series includes contracts, correspondence, plan sheets, executed consultant agreements, financial information and contract change orders for federal, state, and privately funded (reimbursable) projects. Documentation includes Federal Highway Administration (FHWA) obligation information and FTA grants information. Completed federal projects files are transferred to Administration and Finance for closeout. Non-federal projects are forwarded directly to the DelDOT Records Center. Construction documents for all capital improvement projects and minor capital improvement projects that change, modify, or alter hidden systems. All construction documents should be kept separate and apart from all other general and/or special fund accounts and all projects within any given year's program should have a separate, well-identified file. Agencies that are the contract owner and are the custodian of the construction documents should follow the retention for the record copy. **FACTS ALLOTMENT REQUEST** Documents that authorizes an allotment of funds for a particular project The funds can be from state, federal or other sources. This document also serves as an authorization document to proceed with various phases of a project. In these cases, the document actually contains authorization signatures. The document is also used as the reference document for the input of data to the accounting system. **SURBURBAN STREETS ESTIMATE FILES** Contains estimates from contractors and Preconstruction staff. **SURBURBAN STREET PROGRAM AGREEMENTS** Agreements with local government and agencies that advertise and manage the work Includes copies of invoices, checks and correspondence DelDOT funds all or a portion of this work Once the agreement is closed, the documentation is filed in the project files.	**VITAL**	Retain at agency 1 year after completion of successful final audit if state funded or retain at agency 3 years after completion of successful final audit if federally funded; transfer to Delaware Public Archives for permanent preservation.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
FMB-015	**FEDERAL TRANSIT ADMINISTRATON (FTA) SUBJECT FILES** Contains general information, quarterly reports, copies of the DTC triennial report, Federal Transit Administration (FTA) Grant Files, original grants agreement and application, correspondence and other financial information Grants cover purchase of vehicles and equipment, building renovation, training, operating funds and the Rural Transportation Assistance Program (RTAP)		Retain at agency 3 years after completion or until resolution of all issues arising from litigation, claim, negotiation, audit or other action involving the record, whichever is later; successful audit; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-016	**FEDERAL RAILROAD ADMINISTRATION (FRA) SUBJECT FILES** Contains general information and quarterly reports, Federal Railroad Administration (FRA) Grant Files, original grant agreement and application, correspondence, performance reports, federal cash transaction reports, financial status reports for projects funded by the Federal Railroad Administration		Retain at agency according to OMB Circular A-102, Attachment C. 49 CFR 266.23	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-017	**FEDERAL AVIATION ADMINISTRATION (FAA) SUBJECT FILES** Contains general information and quarterly reports Federal Aviation Administration (FAA) Grant Files Application, correspondence pertaining to project authorization and funding grant agreements and consultant studies Grants cover hanger construction and noise implementation.		Retain at agency 3 years after date of submission of final expenditure report; destroy. 14 CFR 152.307	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-018	**SURBURBAN STREETS ESTIMATE FILES**		Combined with FBM-014	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-019	**SURBURBAN STREET PROGRAM AGREEMENTS**		Combined with FBM-014	**3/13/2000** **2005** **1/27/2006** **1/16/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
FMB-020	**BOND SALES FILES** Contains arbitrage calculations on bonds, correspondence, preliminary and official statements, arbitrage reports and other documents concerning the issuance and administration of the bond		Retain at agency as long as the bond is outstanding; plus 3 years after the final redemption date of bond. IRS	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-022	**TRANSPORTATION TRUST FUND (TTF) ACCOUNTING MONTHLY REPORT** Details monthly activities by account		Retain at agency; successful audit; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-023	**ANNUAL WORKING FILES**		Retain at agency; successful audit; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-024	**PUBLIC PRIVATE PARTNERSHIP (PR3) PROJECT FILES** Proposals submitted to TTF; none were accepted.		Purge and destroy when no longer needed for reference or after 5 years.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-025	**STATE INFRASTRUCTURE BANK (SIB) PROJECT FILES** Bank statements and other documents used in setting up accounts. Program funded by FHWA.	**VITAL**	Retain at agency 3 years from repayment of the loan or until resolution of all issues arising from litigation, claims, negotiation, audit, or other action, whichever is later; successful final audit; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-026	**SMALL RETAIL GASOLINE STATION LOAN PROGRAM (SRGSLP) PROJECT FILES** Loan documents including approval and payments for program to install stage two-vapor recovery equipment Joint venture of DelDOT and other state agencies	**VITAL**	Retain at agency 10 years after completion of project or 6 years after expiration or termination of loan; successful audit; destroy. 13 CFR 120.471	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-027	**TRUST FUND STATEMENTS** Monthly bank statement activity	**VITAL**	Retain permanently at agency on suitable archival media.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
FMB-028	**TRUST FUND MONTHLY ACCOUNT BALANCE** Used for fund balance reports.	**VITAL**	Retain at agency; successful audit; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-029	**LEASE FILES** Concessionaire leases for turnpike and related correspondence.	**VITAL**	Retain at agency until termination of guarantee; successful audit; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-030	**ARBITRAGE FILES** Copies of monthly activity bank statement sent to firm that makes arbitrage calculations every five years.		Sent to firm; retain copies at agency 5 years; after bond is paid in full; destroy.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-031	**DelDOT ANNUAL AND TURNPIKE REPORTS**		Transfer 2 copies to Delaware Public Archives for permanent preservation.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-032	**TRAFFIC AND REVENUE STUDY** Study on one-way tolls for I-95 and SR-1. Contains agreement, contract, interim report and final report		Retain at agency until completion of study; transfer to Delaware Public Archives for permanent preservation.	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-034	**CORRESPONDENCE**		Please use the General Retention Schedule	**3/13/2000** **2005** **1/27/2006** **1/16/2015**
FMB-036	**FUNDING SOURCE DOCUMENT**		Combined with FMB-014	**3/13/2000** **2005** **1/27/2006** **1/16/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
OAF-002 OAF1 OAF2	**AGREEMENTS: TOWN, UTILITY, RAILROAD, CONSULTANT AND TWO-PARTY** Legally binding agreements that constitute contract files up to the point of execution Defines terms of contract		Retain at agency; termination of agreement; successful audit transfer Delaware Public Archives for permanent preservation.	**1/13/1994** **2/8/1994** **3/13/2000** **2005** **1/16/2015**
OAF-004 OAF3 OAF4	**CONTRACTS, MATERIAL AND EQUIPMENT** Statewide contracts for material and/or equipment relating to a specific project		Retain at agency until end of project; forward to DelDOT Records Center. Retain 3 years after successful audit; destroy.	**1/13/1994** **2/8/1994** **3/13/2000** **11/15/2002** **2005** **1/16/2015**
OAF-007 OAF5 OAF7	**FRANCHISE AGREEMENTS** Agreements for use of state right-of-way Some include rental charges, which are billed either monthly or annually.		Retain at agency until termination agreement; successful audit; transfer to Delaware Public Archives for permanent preservation.	**1/13/1994** **2/8/1994** **3/13/2000** **2005** **1/16/2015**
OAF-018 OAF10 OAF18	**DAMAGE TO STATE PROPERTY (TRAFFIC BILLS)** Billings of damages to state property (street light poles, etc) Contains copy of bill with attachments of labor and materials charges, insurance letters and accident reports		Retain at agency 3 years; successful audit; destroy. **Note:** refers to inactive or paid accounts only.	**1/13/1994** **2/8/1994** **3/13/2000** **11/15/2002** **2005** **1/16/2015**
OAF-019 OAF11 OAF19	**THIRD PARTY BILLINGS (TRANSPORTATION BILLS)** Billing for work done by a third party Contains copy of bill or IV (Intergovernmental Voucher) with supporting documentation attached		Retain at agency 3 years; successful audit; destroy. **Note:** refers to inactive or paid accounts only	**6/28/1991** **1/13/1994** **2/8/1994** **3/13/2000** **11/15/2002** **2005** **1/16/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
OAF-023 (OAF-013 OAF-023)	**OUTDOOR ADVERTISING** Receipt of payment for yearly invoices		Retain at agency; successful audit; destroy. Scanned into DocStar	**6/28/1991** **1/13/1994** **2/8/1994** **3/13/2000** **2005** **1/16/2015**
OAF-024 (OAF-014 OAF-024)	**SMYRNA REST AREA RECORDS** Chronological files containing copies of PVs and supporting documentation, ledger sheets for purchases, monthly profit and loss analysis of charge reports, inventory sheets, copy of cash collection report, open-item status report, statements from vendors, memos and annual reports.		Retain at agency 3 years; successful audit; destroy. Scanned into DocStar	**1/13/1994** **2/8/1994** **3/13/2000** **11/15/2002** **2005** **1/16/2015**
	CONTRACT ADMINISTRATION			
ADM-015	**CONSULTANT AGREEMENT FILES** Information copies		Retain at agency 3 years; destroy	**7/2006** **1/27/2015**
ADM-016 (ADSS-001)	**PROFESSIONAL SERVICES AGREEMENTS** Contains documentation pertaining to the selection of consultants for DelDOT projects and copies of negotiated and supplemental agreements Contains copy of contract, required evaluations or other items of service, provider information related to the contract Record copy of the agreement is in Support Services. The DelDOT Section administering the project also holds working copies.		Retain at agency until work is completed; transfer to DRC for 3 years after expiration of agreement or Life of the contract; successful audit; destroy.	**7/2006** **1/27/2015**
ADM-017	**CONSULTANT REGISTRATION REPORT (ALPHABETICAL FILES)** Information received from consultant, which is entered onto Outside Provider Database. Computer reports are generated on as needed basis.	**CONFIDENTIAL**	Retain at agency 3 years; transfer to DRC 7 years; destroy.	**7/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
ADM-018	**MONTHLY REPORTS** Reports listing agreements and supplemental agreements signed each month, new agreement numbers assigned, new consultants registered with DelDOT and firms short listed and selected for each month. Report is distributed to the Secretary and all division directors.		Retain at agency 5 years; destroy.	**7/2006** **1/27/2015**
ADM-019 (ADSS-001)	**CONSTRUCTION CONTRACTS** Construction documents for all capital improvement projects and minor capital improvement projects that change modify or alter existing systems. Formal contracts between DelDOT and contractors for the terms and conditions surrounding construction projects. Included are copies of specifications, advertised bids, proposals and correspondence.		Retain at agency until work is completed; transfer to DRC for 3 years after expiration of agreement or life of contract; successful audit; destroy	**7/2006** **1/27/2015**
ADSS-001	**AGREEMENTS AND CONTRACTS/CONTRACT FILES** Contracts for Goods and Services Formal contracts between DelDOT and vendors for the furnishing of goods and services to agencies Includes copies of specifications, advertised bid proposals and correspondence		Retain at agency; terminations of guarantee; successful audit; destroy.	**7/2006** **1/27/2015**
ADSS-005	**CONTRACTS CARD FILE** Series consists of 3 X 5 cards arranged by contract number, serving as a quick reference to locate inactive contract files. Information on the cards is an extract of information from the Transfer Forms (above)		Retain at DelDOT Records Center permanently	**7/2006** **1/27/2015**
	SUPPORT SERVICES			
ADM-018	**MONTHLY REPORTS** Reports listing agreements and supplemental agreements signed each month, new agreement numbers assigned, new consultants registered with DelDOT and firms short listed and selected for each month. Report is distributed to the Secretary and all division directors.		Retain at agency 5 years; destroy.	**7/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
ADSS-004	**INTRA-DEPARTMENTAL TRANSFER FORMS** Transmittal forms filled out by DelDOT sections when transferring records from the offices to DRC. Contract number arranges forms if they accompany retired contract files. Transfer forms for all other records are arranged by originating section, then date of transfer. Forms contain information concerning the content of the records transferred to storage, annotations of responsible support services staff member, whether and when records are destroyed, whether a microfilm exists and the microfilm's location.		Retain at agency 10 years after the destruction of boxes; destroy.	**7/2006** **1/27/2015**
ADSS-006	**TRANSFER DOCUMENTS RECEIVED FROM THE DELAWARE PUBLIC ARCHIVES**		**Archives is no longer creating microfilm for agencies**	**7/2006** **1/27/2015**
ADSS-007	**LIBRARY SIGN-OUT RECORDS**		**Obsolete as of 2005**	**7/2006** **1/27/2015**
ADSS-008	**PUBLICATIONS REQUESTS**		**Obsolete as of 2005**	**7/2006** **1/27/2015**
ADSS-009	**AGENCY PUBLICATIONS** Published articles and reports authored, co-authored, or edited by DelDOT staff in their capacities as state employees. Also includes any published reports and studies commissioned by DelDOT.		Transfer 2 copies to Delaware Public Archives for permanent preservation; Submit 1 copy to DelDOT Public Relations Office	**7/2006** **1/27/2015**
ADM-023	**PAID INVOICES**		Please use the General Retention Schedule	**7/2006** **1/27/2015**
ADSS-003	**ADMINISTRATOR'S REPORTS TO DIVISION DIRECTOR**		Please use the General Retention Schedule	**7/2006** **1/27/2015**
ADM-001	**DIRECTOR'S GENERAL AND DESK FILES**		Please use the General Retention Schedule	**7/2006** **1/27/2015**
ADSS-002	**SECTIONAL SUBJECT FILES**		Please use the General Retention Schedule	**7/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
ADM-001	**TRANSITORY FILES**		Please use the General Retention Schedule	**7/2006** **1/27/2015**
ADM-002	**ADMINISTRATIVE PERSONNEL RECORDS**	**CONFIDENTIAL**	Please use the General Retention Schedule	**7/2006** **1/27/2015**
ADM-024	**TIME SHEETS** Section copies	**CONFIDENTIAL**	Retain at agency 3 years; successful audit; destroy. 29 CFR 516.5	**7/2006** **1/27/2015**
SS-001	**EMPLOYEE IDENTIFICATION CARDS/ BADGES**		Please use the General Retention Schedule	**2011** **1/27/2015**
SS-002	**FIRST REPORT OF OCCUPATIONAL INJURY OR DISEASE**		Please use the General Retention Schedule	**7/2006** **1/27/2015**
SS-003	**MATERIAL SAFETY DATA SHEETS (MSDS)** Information and warning sheets supplied by manufacturers of hazardous materials		Retain at agency 5 years; transfer to DelDOT Records Center for 25 years; destroy **Total Retention: 30 YEARS** 16 *Del. C.* Chapter 24 29 CFR 1910.1200	**7/2006** **1/27/2015**
SS-004	**CHEMICAL INFORMATION LISTS (CIL)** Lists containing names of hazardous chemicals normally used or stored in the workplace in excess of 55 gallons or 500 pounds.		Retain at agency 5 years; transfer to DelDOT Records Center for 25 years; destroy **Total Retention: 30 YEARS** 16 *Del. C.* Chapter 24 29 CFR 1910.1200	**7/2006** **1/27/2015**
SS-005	**RIGHT TO KNOW PROGRAM** Attendance sheet for program to train DelDOT employees in the handling of hazardous materials Certifies that they received training performed on an annual basis		Retain at agency 5 years; transfer to DelDOT Records Center for 25 years; destroy **Total Retention: 30 YEARS** 16 *Del. C.* Chapter 24 29 CFR 1910.1200	**7/2006** **1/27/2015**

Agency Notes:

1. Delaware Code
   a. 2 *Del. C.* Chapter 20 Transportation-Public-Private Initiatives Program in Transportation
   b. 6 *Del. C.* Chapter 12A Commerce and Trade – Other Laws Relating to Commerce and Trade – Uniform Electronic Transactions Act
   c. 16 *Del. C.* Chapter 24 Health and Safety – Hazardous Chemical Information
   d. 17 *Del. C.* Chapter 1 Highways-General Provisions-Award of Contracts
   e. 29 *Del C.* Chapter 5 State Government-State Archives and Historical Objects- Public Records
   f. 29 *Del C.* Chapter 100 State Government – General Regulations for State Agencies – Freedom of Information Act
2. Federal Codes
   a. IRS Tax Exempt Bond FAQs Regarding Record Retention Requirements
   b. OMB Circular A-102, Attachment C. Grants and Cooperative Agreements with State and Local Governments
   c. 13 CFR 120.471 Business Credit and Assistance-Business Loans-Lenders-Small Business Lending Companies-What are the minimum capital requirements for SBLCs
   d. 14 CFR 152.307 Aeronautics and Space-Airport Aid Program-Accounting and Reporting Requirements-Retention of records
   e. 29 CFR 1910.1200 Labor – Occupational Safety and Health Standards – Toxic and Hazardous Substance
   f. 49 CFR 266.23 Department of Transportation - Federal Railroad Administration-Assistance to States for Local Rail Service under Section 5 of the Department of Transportation Act
3. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
4. If data system replaces hard copy, the records have differing retention periods, and agency software does not readily permit selective deletion, then delete records after the longest retention period has expired.
5. Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
6. 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
7. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.
8. See also Model Guidelines for Electronic Records on DPA's website for additional guidance concerning the maintenance, and disposition of electronic records.

Notes: Retention Schedule Modification History

Series	Title and Explanation and action taken	Retention	Date of change
OAF-004	**CONTRACTS, MATERIALS AND EQIPMENTS retention was permanent 3/13/2000**	**was reduced to 3 years after successful audit**	**11/15/2002**

THE SERIES BELOW ARE BEING DELETED BECAUSE THEY ARE OUT DATED OR THEY CAN BE FOUND WITHIN THE STATE GENERAL SCHEDULES

GAR-002 (FMB-002)	**WEEKLY REPORT TO SECRETARY**	**GAF-006**	**EXPENSE BUDGETS (EB)**
GAF-006 (FMB-003)	**SUPER CARD FILES**	**GAF-007**	**REVENUE BUDGETS (RB)**
GPR-006 (FMB-004)	**PERSONNEL FILES**	**GAF-013**	**INVOICES (IN)**
GAF-001 (OAF-009)	**STATE PURCHASE ORDERS (PO) REGULAR, OPEN END, EMERGENCY OAF series replaced 1/13/1994**	**GAF-001**	**MANUAL WARRANTS (MW)**
GAF-001 (OAF-014)	**STATE PAYMENT VOUCHERS (PV) (REGULAR, DIRECT CLAIM)**	**GAF-017**	**CHECK REGISTERS**

GAF-001	**INTERGOVERNMENTAL VOUCHERS (IV)**	**GAF-017**	**DEPOSIT SLIPS**
GAF-004	**EXPENDITURE CORRECTIONS (EX)**	**GAF-017**	**PETTY CASH FUND SYSTEM**
GAF-004	**REPORTS OF CASH RECEIPTS (CR)**	**GAF-030**	**CONTRACTS, AGREEMENTS AND LEASES**
GAF-001	**PERSONAL EXPENSE REIMBURSEMENTS (PV)**	**GAF-030**	**BIDS, BID SPECS, QUOTES**
GAF-001	**REQUESTS FOR PURCHASE ORDER**	**GAF-010**	**GRANT FILES**
GAF-009 (FMB-012)	**BUDGET REQUEST WORKING FILES**	**GAF-008**	**TRANSFERS OF APPROPRIATIONS (TA)**
GAF-038 (FMB-021)	**FINANCIAL STATEMENTS**	**GAF-001**	**TELEPHONE BILLINGS**
GAF-030 (FMB-033)	**CONSULTANT AGREEMENTS**	**GAF-014**	**AUDIT REPORTS, STATE**
GAF-016	**GAAP (GENERALLY ACCEPTED ACCOUNTING PRINCIPLES) REPORTING PACKAGES**	**GAF-017**	**BANK STATEMENTS, CANCELED CHECKS, CHECK STUBS**
GAF-020	**EQUIPMENT REIMBURSEMENT REQUESTS (ER-1)**	**GAF-018**	**AGENCY BANK ACCOUNTS (TR-1A, TR-1B, TR-1C)**
GAF-002	**VENDOR FILES**	**GAF-013**	**OBJECT OF EXPENDITURE REPORTS**
GAF-012	**CONTROL LEDGERS (MANUAL POSTING)**	**GAF-023**	**PAYROLL FUNDING REPORTS**
GAF-001	**OPEN ORDER NOTEBOOKS**	**GAF-023**	**PAYROLL CHECK REGISTERS**
GAF-021	**UNCOLLECTABLE ACCOUNTS**	**GAF-023**	**DEDUCTION REGISTERS**
GAF-017	**CANCELED PAYROLL CHECK AND PERSONAL REIMBURSEMENT FORMS**	**GAF-023**	**LABOR UNION REPORTS**
GAF-004	**RECEIPTS LEDGERS**	**GAF-023**	**QUARTERLY SUMMARY/ 4TH QUARTER REPORTS**
GAF-004	**CASH REGISTER TAPES**	**GAF-023**	**ANNUAL (FY) PAYROLL FUNDING REPORTS**
GAF-004	**RECEIPTS/RECEIPT BOOKS**	**GAF-023**	**FUND-LINE EXCEPTION REPORTS**
GAF-016	**LEAVE AVAILABLE REPORTS**	**GAF-023**	**EMPLOYEE DICTIONARY (SSN/ALPHA)**
GAF-013	**REVENUE REPORTS**	**GAF-024**	**FORM W-5**
GAF-013	**REVENUE BY BUDGET UNIT**	**PHRST**	**PAYROLL CLAIM FORM (PC-1) REPORTS**
GAF-013	**SCHEDULE OF ENCUMBRANCES**	**PHRST**	**DEDUCTION CONTROL REGISTERS (DCR-1)**
GAF-013	**STATEMENTS OF BUDGETARY ACTIVITY AND ACCOUNT BALANCES**	**PHRST**	**ATTENDANCE CONTROL REGISTERS (ACR)**
GAF-013	**STATEMENT OF AVAILABLE FUNDS REPORTS**	**No longer Used**	**PAYROLL ATTENDANCE CLAIM FORMS (AC-1)**
GAF-013	**TRANSACTIONS PROCESSED REPORTS**	**GAF-025**	**AC-1 NOTIFICATION FORMS**
GAF-013	**VALIDITY BALANCE REPORTS**	**GPR-005**	**PERSONNEL ACTION REQUESTS (PAR-3, PAR-4)**
GAF-013	**APPROPRIATION EXPENDITURES BY OBJECT CODE**	**No longer Used**	**BLUE CROSS/PRINCIPAL DISCREPANCY REPORTS**
GAF-013	**STATEMENT OF APPROPRIATIONS (MONTHLY APPROPRIATION BALANCES)**	PHRST	**MERIT SYSTEM SALARY UPDATES**
GAF-013	**BUDGETARY ACTIVITY REPORTS**		**VENDOR COVERSHEETS**
GAF-022	**GENERAL FUND DISBURSEMENTS**		**CYCLE FUNDING ADJUSTMENT REPORTS**

GAF-026	**CIP FUND DISBURSEMENTS**		**CYCLE FUNDING ADJUSTMENT UPDATE REPORTS**
GAF-027	**NON-CIP FUND DISBURSEMENTS**	**GAF-023**	**INSURANCE UPDATES**
GAF-011	**FEDERAL AID MASTERS (FM)**		**VENDOR REFERENCE GUIDES**
GAF-013	**FEDERAL AID CHARGES (FC)**	**GAF-030**	**PROFESSIONAL SERVICES CONTRACTS**
No longer used	**PR TRANSACTIONS ON DOCUMENT SUSPENSE FILE**	**PHRST**	**WAGE ATTACHMENTS (GARNISHMENTS)**
GAF-013	**YEAR-TO-DATE PROGRAM FUNDS REPORTS**	**PHRST**	**IRS LEVIES**
GAF-013	**DETAIL PROGRAM FUNDS REPORTS**	**GAF-008**	**CASH ADJUSTMENTS (CA)**
GAF-013	**FEDERAL AID CHARGES REPORTS**	**GAF-029**	**FIXED ASSET REPORTS**
GAF-013	**FEDERAL AID FUNDS REPORTS**	**GAF-019**	**EXCEPTION REPORTS**
PHRST OAF-015	**PAYROLL TIME SHEETS**	**GER-002** OAF-008	**COMPUTER INPUT DOCUMENTS**
XTAF-001	**DAILY BACIS HIGHWAY ACCOUNTING**	**XTAF-009**	**BACIS REPORTS (MONTH-END & YEAR-TO-DATE)**
XTAF-002	**MONTHLY BACIS HIGHWAY ACCOUNTING CLOSE-OUT**	**XTAF-010**	**FEDERAL AID CLAIMS**
XTAF-003	**HOURLY PAYROLL PRESCAN REPORTS**	**XTAF-011**	**DFMS REPORTS (MONTH-END & YEAR-TO-DATE)**
XTAF-004	**HOURLY PAYROLL DISTRIBUTION**	**XTAF-006**	**SALARY PAYROLL DISTRIBUTION**
XTAF-005	**SALARY PAYROLL PRESCAN REPORTS**	**XTAF-007**	**MAINTENANCE TO EXTRACTED FUNDING TAPE**
		XTAF-008	**WEEKLY DOT PROCESSING**

THE SERIES BELOW HAVE BEEN DELETED AS OF 1/27/2006

FMB-007	**No longer used**	**OAF-001**	**Replaced by FMB-034 1/13/1994**
OAF-003	**No longer used 2/1/1999**	**OAF-005**	**Combined with FMB-014**
OAF-006	**Transfer to OAF-005 11/21/1986**	**OAF-010**	**Replaced by FMB-034 1/13/1994**
OAF-011	**Transfer to OAF-005 11/21/1986**	**OAF-012**	**Transfer to XTAF-010 11/26/1986**
OAF-013	**Transfer to FMB-036**	**OAF-016**	**Replaced by GAF-014 1/13/1994**
OAF-017	**Replaced by GAF-036 1/13/1994**	**OAF-020**	**Replaced by GAR-007 1/13/1994**
OAF-021	**Replaced by GAF-077, GAF-086 1/13/1994**	**OAF-022**	**Replaced by GAF-001 to GAF-005**
OAF-025	**Transfer to DOT HR – GPR-005-H**		

SUPPORT SERVICES SERIES DELETED

ADSS-009	**AGENCY PUBLICATIONS**	**ADM-023**	**PAID INVOICES**
ADSS-003	**ADMINISTRATOR'S REPORTS TO DIVISION DIRECTORS**	**ADM-001**	**DIRECTOR'S GENERAL AND DESK FILES**
ADSS-002	**SECTIONAL SUBJEST FILES**	**ADM-001**	**TRANSSITORY FILES**
ADM-002	**ADMINISTRATIVE PERSONNEL RECORDS**	**ADM-024**	**TIME SHEETS**
SS-001	**EMPLOYEE IDENTIFICATION CARDS/BADGES**	**SS-002**	**FIRST REPORT OF OCCUPATIONAL INJURY OR DISEASE**

STATE OF DELAWARE
DELAWARE PUBLIC ARCHIVES

Record Group: **1540**
Agency: **TRANSPORTATION**
Division: **HUMAN RESOURCES – LABOR RELATIONS**

1/27/2015

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION AND DISPOSITION INSTRUCTIONS	DATE APPROVED / REVISED
LR-001	**DOT AND NON-DOT (SAFTEY SENSITIVE) DRUG & ALCOHOL TESTING** Files may contain: Test Results, Testing Process Administration, Return-To-Duty Process Administration, Employee Training, Supervisor Araining, Previous employer records, Annual MIS reports, Employee evaluation and referrals to SAPs, Follow-up tests and follow-up schedules, Refusals to test, Alcohol test results 0.02 or greater, Verified positive drug test results and EBT calibration documentation **NOTE:** 49 CFR 40.333	**CONFIDENTIAL** 29 *Del. C.* 10002(l)	Retain at agency according to FMCSA instructions below; destroy. **1 Year:** Negative drug test results Alcohol test results less than 0.02 **2 Years:** Records related to the alcohol and drug collection process **3 Years:** Previous employer records **5 Years:** Annual MIS reports Employee evaluation and referrals to SAPs Follow-up tests and follow-up schedules. Refusals to test Alcohol test results 0.02 or greater Verified positive drug test results EBT calibration documentation **Indefinite period:** Education and Training records, plus two years after ceasing to perform functions	

Agency Notes:

1. Delaware Codes
   a. 6 *Del. C.* Chapter 12A. Uniform Electronic Transaction Act
   b. 29 *Del. C.* Chapter 5 Public Records Law
   c. 29 *Del. C.* Chapter 100. Freedom of Information Act (FOIA)
2. Federal Code
   a. 49 CFR 40.333 Transportation-Procedures for Transportation Workplace Drug and Alcohol Testing Program
3. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
4. If data system replaces hard copy, the records have differing retention periods, and agency software does not readily permit selective deletion, then delete records after the longest retention period has expired.
5. Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
6. 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
7. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.
8. See also Model Guidelines for Electronic Records on DPA's website for additional guidance concerning the maintenance, and disposition of electronic records.

Notes: Retention Schedule Modification History

Series	Title and Explanation and action taken	Retention	Date of change
LR-001	**DOT and Non-DOT (Safety Sensitive) Drug & Alcohol Testing**	Created	1/27/2015

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
CTF-001	**ESTIMATES** Files may contain original estimate for project, estimate letter, and funding request documents.		Retain at agency 4 years after there is no action on request; destroy **NOTE:** If there is no action before 4 years the estimate has to be resubmitted.	**8/15/2013** **1/27/2015**
CTF-002	**3rd PARTY AGREEMENTS** Files may contain original estimate, estimate letter, funding request documents, executed agreements, PO's, PV's, correspondences and cancelled checks.		Retain at agency 1 year after completion of project; transfer to State Records Center 15 years; transfer to Delaware Public Archives for permanent preservation.	**8/15/2013** **1/27/2015**
CTF-003	**SUBDIVISION ENTRANCE SIGNS** Files may contain correspondence, plans, agreements and invoices		Retain at agency 3 years after completion of project; destroy	**8/15/2013** **1/27/2015**
HOBM-003	**ABOVE GROUND & UNDERGROUND STORAGE TANK CONTRACTS** A. Contracts for removal of underground storage tanks B. Documentation regarding soil contamination and soil and water tests	 **VITAL/ CONFIDENTIAL** **VITAL/ CONFIDENTIAL**	 A. Retain at agency until expiration/termination of contract; transfer to the DelDOT Records Center 5 years; destroy. 7 Del. Admin C. § 1300 B. Retain at agency 5 years after permanent closure; destroy 40 CFR 280.45 40 CFR 280.74 7 Del. Admin C. § 1300	**3/8/2011** **1/27/2015**
HODO-001	**WORK ORDERS** Contains name of requestor for work to be performed and completion date. Information is input to MAXIMO Work Order System.		Input to MAXIMO Work Order System After verification of system, destroy paper document, retain on system 3 years; destroy	**3/8/2011** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HODO-002	**WORK ORDER LOGBOOK** Log of requests for work to be performed		Retain at agency 1 year; destroy.	**3/8/2011** **1/27/2015**
HODO-003	**SAND BARREL PROGRAM** Requests from civic associations, evaluations and approvals Barrels are distributed in the autumn and retrieved in the spring		Retain current and previous year at agency; destroy. **CANAL:** Retain data in Alpha V current year; paper copy for 1 year; update as necessary; destroy	**3/8/2011** **1/27/2015**
HODO-004	**OVERTIME REQUEST FORMS**		Retain at agency 3 years; successful audit; destroy.	**3/8/2011** **1/27/2015**
HODO-005	**PERSONNEL FILES** Office copy of personnel records.		Please use the General Retention Schedule	**2007** **8/15/2013** **1/27/2015**
HODO-006	**ADOPT A HIGHWAY APPLICATIONS** Record copy in external affairs. Applications are used to assign responsibility for clean-up of trash, etc. from the state highways to individuals or groups.		Retain at agency 1 year; destroy.	**3/8/2011** **1/27/2015**
HODO-007	**WEEKLY REPORTS** Weekly reports submitted to the Director's Office		Please use the General Retention Schedule	**2007** **8/15/2013** **1/27/2015**
HODO-012	**GENERAL CORRESPONDENCE FILES** A. Administrative Support Records B. Transitory Files		Please use the General Retention Schedule	**2007** **8/15/2013** **1/27/2015**
HODO-013 **CENTRAL** **CANAL** **SOUTH**	**SUBURBAN DEVELOPMENT FILES** Strip development plans, requests, contracts, reports and field notes.		Retain at agency 4 years; transfer to DelDOT Record Center for 4 years. Transfer to Delaware Public Archives for permanent preservation.	**3/8/2011** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HODO-014	**MAINTENANCE CONTRACTS & CONTRACTUAL/SURVEY** A. Community Transportation Needs Contracts B. Guardrail Maintenance Contracts C. Guide Sign Contracts D. Contracts (Bridge Repair, Guardrail, Sinkholes, Mowing and Miscellaneous) E. Copies of contract, award letter, payment vouchers, change orders and pay estimates as needed. Certain contracts require daily diaries, core samples, photographs and temporary trespass agreements.		A to D. Retain at agency 1 year after completion of contract if state funded; successful final audit; Retain at agency 3 years after completion of contract if federally funded; successful final audit. Transfer to Delaware Public Archives for permanent preservation. E. Retain at agency 1 year if state funded; 3 years if federally funded; destroy.	**3/8/2011** **1/27/2015** **8/15/2013** **1/27/2015**
HODO-015	**CONSULTANT MAINTENANCE CONTRACTS** Files may contain correspondence, agreements, invoices and payment vouchers		Retain at agency 1 year after completion of project; successful final audit if state funded; retain at agency 3 years; successful final audit if federally funded. Transfer to Delaware Public Archives for permanent preservation.	**3/8/2011** **8/15/2013** **1/27/2015**
HODO-016	**CONSTRUCTION PLANS** Copies of originals in Road Design		Retain at agency 1 year after completion of project; if state funded; 3 years if federally funded; successful final audit; destroy.	**3/8/2011** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HODO-017 (HODO-025) **CENTRAL SOUTH CANAL**	**RESIDENTIAL AND COMMERCIAL ACCESS PERMITS/WAIVER** Applications for construction of road access from a residential or commercial property Files include descriptions of the proposed work, plans and engineering drawings, , traffic count data and studies concerning the anticipated traffic increase resulting from access, letter of credit, surety agreement, certified check, deposits as bond, review comments from DelDOT sections included in the approval process, and inspection reports and notes prepared by DelDOT inspector **A. Commercial/Residential Access Permit Files** **B. Index Database** Tracks review dates and comments received from other DelDOT units and serves as an index to active permit files.		A. Retain at the District 6 years after expiration of permit and completion of work; destroy. B. Retain at the District 6 years after permit expiration and completion of work; after successful audit; destroy.	**3/8/2011** **8/15/2013** **1/27/2015**
HODO-018 **CENTRAL SOUTH CANAL**	**ROADSIDE STAND ENTRANCE PERMITS** Contains application, plans, inspector's reports and permits issued for construction and continued existence of entrances off the ROW Permits issued for roadside stands are renewed on an annual basis.		Retain at the District 6 years; destroy.	**3/8/2011** **8/15/2013** **1/27/2015**
HODO-019 **CENTRAL SOUTH CANAL**	**TEMPORARY ENTRANCE PERMITS** Contains applications, plans, inspector's reports and permits issued for construction and continued existence of entrance off the ROW Permits issued are good for 3 months to a year.		Retain at the District 6 years; destroy.	**3/8/2011** **8/15/2013** **1/27/2015**
HODO-020 **CENTRAL SOUTH CANAL**	**USED CAR SALES ENTRANCE PERMITS** Contains application, plans, inspector's reports and permits issued for construction and continued existence of entrances off the ROW		Retain at the District 6 years; destroy.	**3/8/2011** **8/15/2013** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HODO-021 CENTRAL SOUTH CANAL	**UTILITY PERMITS** Applications from utility companies to perform utility work Files include descriptions of the proposed work, plans and drawings. Also contain review comments from DelDOT sections submitted during the approval process and inspection reports and notes prepared by DelDOT inspector. **A. Utility Permit Files** **B. Index Database** Tracks review dates and comments received from other DelDOT units and serves as an index to active permit files.		A. Retain at the District 6 years after expiration of permit and completion of work; destroy. 23 CFR 645.211 23 CFR 645.111 B. Retain at the District 6 years after permit expiration and completion of work; destroy. 23 CFR 645.211 23 CFR 645.111	**3/8/2011** **8/15/2013** **1/27/2015**
HODO-022 CENTRAL SOUTH CANAL	**PROJECT NUMBERS FOR ACCOUNTING PURPOSES** Records in hard copy and electronic format, which link project numbers to the various applicable accounting codes. Series serves as a facilitator for data input into the Maintenance Management application.		Retain at agency until completion of project; destroy.	**3/8/2011** **1/27/2015**
HODO-023 CANAL	**BILLING TO THE ARMY CORP OF ENGINEERS** Back-up documentation of itemized bills forwarded to the Army Corps of Engineers. Record copy is in Finance.		Retain at agency 3 years after completion of project; successful audit; destroy.	**3/8/2011** **1/27/2015**
HODO-024	**ENERGY REPORTS** Monthly reports summarizing utility consumption (e.g. water, electricity and gasoline used) and costs incurred. Records serve as a reference tool in planning for the energy needs of the next fiscal year.		Retain at agency 2 years; destroy.	**3/8/2011** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HODO-025	**HIGHWAY ACCESS PERMITS**		Combined into HODO-017	**3/8/2011** **8/15/2013** **1/27/2015**
HODO-026 **CENTRAL** **SOUTH** **CANAL**	**SUBDIVISION PERMIT RECORDS** Documents the review and issuance of permits to subdivision developers Contain working documentation created in the course of permit review, and monthly or semi-monthly status reports for each subdivision, which are generated from the index database related to the series. **A. Subdivision Files** Hard copy records maintained for each active subdivision development. **B. Subdivision Database** Maintains access information concerning each subdivision, including name and related information concerning developer, engineer, sit contractor, bonding institution and DelDOT inspector assigned to the project. Database also tracks milestone dates for active developments from the preconstruction meetings through construction, to final approval of a road.		A. Retain at District 7 years after acceptance inspection and approval of the construction; destroy. **NOTE: CHANGES IN WORDING** 17 *Del. C.* Chapter 5 B. Transfer data from active development file to a completed development file when project is completed; retain for 3 years; destroy.	**2007** **3/8/2011** **8/15/2013** **1/27/2015**
HODO-028	**MATERIAL SAFETY DATA SHEETS (MSDS)** Contains a MSDS for each hazardous substance that has been identified on the Chemical Inventory List. Each MSDS reflects information provided by the manufacturer of the substance. Should be kept in close proximity of chemical storage.		Retain at agency 5 years of list creation or modification; transfer to DelDOT Records Center 25 years; destroy **Total Retention 30 Years** 16 *Del. C.* Chapter 24 29 CFR 1910.1200	**3/8/2011** **1/27/2015**
HODO-029	**EQUIPMENT INSTRUCTIONAL MATERIALS** Materials and videotapes pertaining to the use of equipment used in training courses		Retain at agency for life of equipment; destroy.	**3/8/2011** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HODO-030	**EQUIPMENT ACCIDENT REPORTS** Accident reports completed by police or district personnel Record copy is in Human Resources.	**CONFIDENTIAL**	Please use the General Retention Schedule	**2007** **8/15/2013** **1/27/2015**
HOEO-002	**ACCIDENT REPORTS (Workman's Compensation)**	**CONFIDENTIAL**	Please use the General Retention Schedule	**2007** **8/15/2013** **1/27/2015**
HOEO-003	**FIRST REPORT OF OCCUPATIONAL INJURY OR ILLNESS**	**CONFIDENTIAL**	Please use the General Retention Schedule	**2007** **8/15/2013** **1/27/2015**
HOEO-004	**DAILY ASSIGNMENT SHEET**		Please use the General Retention Schedule 29 CFR 516	**2007** **8/15/2013** **1/27/2015**
HOEO-005	**WORK ORDERS (mechanized equipment)**		Please use the General Retention Schedule	**2007** **8/15/2013** **1/27/2015**
HOEO-006	**PURCHASE ORDERS AND QUOTES FOR SMALL CONTRACTS**		Retain at agency successful audit; destroy	**3/8/2011** **1/27/2015**
HOFS-001 STATE-WIDE SUPPORT SERVICE	**NATIONAL POLLUTION DISCHARGE ELIMINATION SYSTEM, NOTICE OF INTENT** Notification from DelDOT on behalf of the builder to the Department of Natural Resources & Environmental Control (DNREC) of intended construction of storm water management facilities. Contains written agreement to abide by state and other applicable environmental standards and regulations		Retain at agency until construction has been completed and undergone final inspection; successful audit; transfer to Delaware Public Archives for permanent preservation. 7 Del. Admin. C. § 5000 40 CFR 122, 40 CFR 123, 40 CFR 124, 40 CFR 125	**3/8/2011** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HOFS-002 STATE-WIDE SUPPORT SERVICE	**STORM WATER PROGRAM FILES** Documents the administration of the storm water facilities inspection program through an agreement between DelDOT and DNREC Records provide high-level documentation of the agreement and program administration and include correspondence between DelDOT and DNREC concerning program implementation, as well as a regular review of DelDOT's activities and participation in the program by DNREC. Includes construction plans for storm water facilities submitted to DelDOT for review, inspection plans and state and federal environmental standards for storm water management facilities.		Retain at agency until participation ends; transfer to Delaware Public Archives for permanent preservation. 7 Del. Admin. C. § 5000	**3/8/2011** **1/27/2015**
HOFS-003 STATE-WIDE SUPPORT SERVICE	**FINAL INSPECTION REPORTS** Final inspections of completed maintenance work subject to review. **NOTE: This does not include Bridge Inspections**		Retain at agency until construction has been completed and undergone final inspection; transfer to DelDOT Records Center for 100 years(life of the structure); destroy	**3/8/2011** **1/27/2015**
HOFS-005 STATE-WIDE SUPPORT SERVICE	**SUBJECT FILES** Working files of field personnel. Contains drafts, drainage studies, correspondence and other transitory working documents		Retain at agency 5 years; destroy.	**3/8/2011** **1/27/2015**
HOFS-006 STATE-WIDE SUPPORT SERVICE	**DRAINAGE COMPLAINTS** Documentation of complaints of flooding problems received from the general public. Records include letters or notes from telephone conservations, stating description of problem, location and name and telephone number of person making the complaint.		Retain at agency 2 years; destroy.	**3/8/2011** **1/27/2015**
HOFS-007	**CHANGE ORDERS** .		DELETE already in HOFS-008	**3/8/2011** **8/15/2013** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HOFS-008 RW4	**PROJECT FILES** Documents current projects pertaining to storm water facilities maintenance. Records include design reviews and comments, inspection reports, information, bid quotes, letters and memoranda and copies of change orders and contract specifications.		Retain at agency 1 year after completion of project if state funded; successful audit. Retain at agency 3 years after completion of project if federally funded; successful final audit; transfer to Delaware Public Archives for permanent preservation. **Exception:** Deeds of land acquisition and archival "as built drawings" – Please use the General Retention Schedule	**6/22/1981** **3/8/2011** **1/27/2015**
HOFS-009 RW16	**RIGHT-OF-WAY AGREEMENTS** Agreements granting DelDOT's rights-of-way to other utilities Also included in the files pertaining to a particular agreement are the applications for right-of-way, back-up documentation and correspondence and the landscaping plan.		Retain at agency for 1 year after no longer valid; transfer to Delaware Public Archives for permanent preservation. 23 CFR 645.11	**6/22/1981** **3/8/2011** **1/27/2015**
HOFS-010	**DIGITAL MEDIA FILES** Digital media supplementing project and contract files. Topics depicted include construction sites, completed facilities, erosion control activities, hazardous trees and landscaping.		Retain at agency until no longer needed; transfer to Delaware Public Archives for permanent Preservation.	**3/8/2011** **1/27/2015**
HOFS-011	**CLAIMS** Documents claims made against DelDOT by contractors charging contract violations. Files include background documentation for the claim, minutes of the claims hearing and the minutes and decisions of the DelDOT claims committee. Claim summary, outcome letter and all other records are also in the files May also include information copies for claims that could not be settled at the section level and were forwarded to the Director of Maintenance and Operations and the DelDOT legal office for further handling.	**VITAL**	Retain at agency until project or contract has been completed, all litigation has been resolved and final inspection has been completed; successful audit; transfer to Delaware Public Archives for permanent preservation.	**3/8/2011** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HOS-009	**CHEMICAL INVENTORY LISTS (CIL)** Lists containing names of hazardous chemicals normally used or stored in the workplace in excess of 55 gallons or 500 pounds		Retain at agency 5 years of list creation or modification; transfer to DelDOT Records Center 25 years; destroy **Total Retention: 30 Years** 16 *Del. C.* Chapter 24 29 CFR 1910.1200	**3/8/2011** **1/27/2015**
HOTE-006	**VEHICLE AND EQUIPMENT LISTS** Heavy equipment lists. Record copy Administration Support Services		Retain at agency 5 years; destroy.	**3/8/2011** **1/27/2015**
HOTE-024	**HIGHWAY LIGHTING INSPECTION** Inspector's reports regarding light problems		Retain at agency for life of lighting structure; destroy.	**3/8/2011** **1/27/2015**
HOTE-025	**HIGHWAY LIGHTING REPAIRS AND INVENTORY** Material regarding inspections and repairs of lights		Retain at agency for life of lighting structure; destroy.	**3/8/2011** **1/27/2015**
MO-001	**SENIOR LEADER'S CORRESPONDENCE FILES** A. Policy and Program Records B. Administrative Support Records .		Please use the General Retention Schedule	**2007** **3/8/2011** **8/15/2013** **1/27/2015**
MO-002	**SECTION FILES** A. Activity reports and correspondence from or relating to organizational units of Maintenance & Operations Division B. Personnel Information	**CONFIDENTIAL**	Please use the General Retention Schedule	**2007** **3/8/2011** **8/15/2013** **1/27/2015**
MO-003	**LEGISLATIVE FILES** Correspondence and memoranda relating to appropriations and authorizations		Please use the General Retention Schedule	**2007** **3/8/2011** **8/15/2013** **1/27/2015**

Record Group: **1540**
Agency: **TRANSPORTATION**
Division: **MAINTENANCE & OPERATIONS**

NORTH, CANAL, CENTRAL & SOUTH DISTRICTS, BUSINESS MANAGEMENT TEAM AND STATEWIDE SUPPORT SERVICES

4/14/1978

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MO-004	**EXTERNAL CORRESPONDENCE** Correspondence with parties outside state government		Please use the General Retention Schedule	**2007** **3/8/2011** **8/15/2013** **1/27/2015**

Agency Notes:

1. Delaware Code
   a. 6 *Del. C.* Chapter 12A Uniform Electronic Transaction Act
   b. 16 *Del. C.* Chapter 24 Health and Safety – Hazardous Chemical Information
   c. 17 *Del. C.* Chapter 5 Highways – Highways, Roads and Bridges Generally
   d. 29 *Del. C.* Chapter 5 Public Records Law
   e. 29 *Del. C.* Chapter 100. Freedom of Information Act (FOIA)
2. Delaware Administrative Code
   a. 7 Del. Admin. C. § 1300 Natural Resources and Environmental Control - Solid Waste-Waste Management Section
   b. 7 Del. Admin. C. § 5000 Natural Resources and Environmental Control –Soil and Water Conservation - Sediment and Stormwater Regulations
3. Federal Code
   a. 23 CFR 645.111 Highways-Utilities-Right-of-way
   b. 23 CFR 645.211 Highways – Utilities-State Transportation department accommodation policies
   c. 29 CFR 516 Labor - Records Kept by Employers
   d. 29 CFR 1910.1200 Labor-Regulations Related to Labor-Occupational Safety and Health Standards
   e. 40 CFR 122 Protection of Environment – EPA Administered Permit Programs: The National Pollutant Discharge Elimination System
   f. 40 CFR 123 Protection of Environment – State Program Requirements
   g. 40 CFR 124 Protection of Environment – Procedures for Decision-making
   h. 40 CFR 125 Protection of Environment – Criteria and Standards for the National Pollutant Discharge Elimination System
   i. 40 CFR 280.45 Protection of Environment – Release detection recordkeeping
   j. 40 CFR 280.74 Protection of Environment – Closure records
4. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
5. If data system replaces hard copy, the records have differing retention periods, and agency software does not readily permit selective deletion, then delete records after the longest retention period has expired.
6. Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
7. 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
8. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.
9. See also Model Guidelines for Electronic Records on DPA's website for additional guidance concerning the maintenance, and disposition of electronic records.

Notes: Retention Schedule Modification History

Series	Title and Explanation and action taken	Retention	Date of change

THE SERIES THAT THE RETENTION INSTRUCTIONS HAVE BEEN DELETED IT IS BECAUSE THEY ARE OUT DATED OR THEY CAN BE FOUND WITHIN THE STATE GENERAL SCHEDULES

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
	ADMINISTRATION			
ADM-001	**PRIVACY ACT FORMS** Release of personal information through driving records to those individuals allowed by law (Title 21 §305)		Retain at agency 5 years; destroy	**5/1/2001** **12/1/2004** **6/15/2005**
	AUDIT			
MA-001	**REGISTRATIONS BY COUNTY/REGISTRATION INSERT GUIDE** Show valid registrations for current date report and number of vehicles registered in each valid monthly expiration period.		Retain at agency 5 years; destroy.	**5/1/2001** **12/1/2004** **6/15/2005**
MA-002	**ANNUAL FISCAL REPORTS** Show transactions and agency financial activity.		Maintain at agency. Upon publication, transfer 1 copy to DelDoc.	**5/1/2001** **12/1/2004** **6/15/2005**
MA-003	**REVENUE REPORTS** Show monies received by the Division; generated monthly.		Retain at agency 5 years; successful audit; destroy.	**5/1/2001** **12/1/2004** **6/15/2005**
MA-004	**TRANSACTION REPORTS** Show specific actions (inspections, renewals, applications, etc.) performed at each Motor Vehicle site; generated monthly.		Retain at agency 5 years; successful audit; destroy.	**5/1/2001** **12/1/2004** **6/15/2005**
MA-005	**CASH COLLECTION REPORTS** Show date, section, type/subtype, fee, lane, count and daily work sheets. May contain attached titles; receipts and registration cards.		Retain at agency 3 years; successful audit; destroy.	**5/1/2001** **12/1/2004** **6/15/2005**
MA-006	**CASH MACHINE TAPES** Show date, time, reporting lane, machine number, validation range, transfer fees, transaction, breakdown and bank deposits.		**Paper** – retain at agency 1 month; destroy. **Electronic** – retain at agency; successful audit; delete.	**5/1/2001** **12/1/2004** **6/15/2005**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MA-007	**BAD CHECK FILES** Arranged as follows: A. Ledgers Show checks accepted by agency and subsequently returned by bank unpaid; arranged by name and date. B. Uncollected Checks Contain correspondence, postal receipts and original check. C. Collected Checks Contain correspondence and postal receipts.		A. Maintain at agency; update as necessary. B. Maintain at agency until collection or 50 years; successful audit; destroy C. Retain at agency; successful audit; destroy	**5/1/2001** **12/1/2004** **6/15/2005**
	CORRESPONDENCE			
MC-001	**FINANCIAL RESPONSIBILITY JUDGMENT SUSPENSION FILES** Contain documents related to judgments (open or closed), payments and defaults.		Retain at agency 10 years after judgment entry; successful audit; destroy.	**5/1/2001** **12/1/2004** **6/15/2005**
MC-002	**CORRESPONDENCE FILES** Contain letters received requesting information (copies of documents, etc.) and replies subsequently returned.		Retain at agency 6 months; destroy. **Note:** This must be updated to meet privacy act concerns 21 Del Code 3	**5/1/2001** **12/1/2004** **6/15/2005**
	DRIVER'S LICENSE			
ML-001	**ORIGINAL DRIVER LICENSE APPLICATIONS** Contain descriptive data about applications includes all types of driver licensing application forms, CDL history forms and Meghan's Law.		Maintain on DMV Data System for a minimum of 7 years of all paper copies and a minimum of 10 years of all microfiche and digital images 2 DE Admin Code 2200 21 DE Code 27 6 CFR 37	**5/1/2001** **12/1/2004** **6/15/2005** **12/11/2012**
ML-002	**DENIED LICENSE APPLICATIONS** Applications denied for cause (outstanding warrants, unpaid fines, etc.) and not subsequently cleared and processed.		Retain at agency 1 year; destroy.	**5/1/2001** **12/1/2004** **6/15/2005**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
ML-003	**LICENSE RENEWAL APPLICATIONS** Created when renewing a driver's license		Maintain on DMV Data System for a minimum of 7 years of all paper copies and a minimum of 10 years of all microfiche and digital images 2 DE Admin Code 2200 21 DE Code 27 6 CFR 37	**5/1/2001** **12/1/2004** **6/15/2005** **12/11/2012**
ML-004	**DUPLICATE LICENSE APPLICATIONS** Created when issuing a duplicate driver's license		Maintain on DMV Data System for a minimum of 7 years of all paper copies and a minimum of 10 years of all microfiche and digital images 2 DE Admin Code 2200 21 DE Code 27 6 CFR 37	**5/1/2001** **12/1/2004** **6/15/2005** **12/11/2012**
ML-005	**RELINQUISHED DRIVER LICENSES** Arranged as follows: A. Expired licenses surrendered upon request. B. Licenses surrendered to other states upon issuance of new license. C. Out-of-state licenses surrendered in Delaware upon issuance of new license		A. Destroy upon issuance of new license B. Destroy upon receipt C. Return to state of issue within 30 days of surrender or destroy after informing previous state. 21 DE Code 27 2 DE Admin Code 2200	**5/1/2001** **12/1/2004** **6/15/2005**
ML-006	**LEARNER'S PERMIT FILES** Contain permits and endowments. Length of original term can be extended (i.e. Class D – 120 days, CDL – 12 months, motorcycle – 120 days). A. Permits Resulting in License Issuance B. Unconsummated Licenses		A. Retain at agency until license issued or permit expires; destroy. B. Retain at agency through longest possible extension date; destroy. 21 DE Code 27 2 DE Admin Code 2200	**5/1/2001** **12/1/2004** **6/15/2005**
ML-007	**IDENTIFICATION CARD APPLICATIONS** Used for identification in lieu of driver's license. Contains similar descriptive data about applicants/		Maintain on DMV Data System for a minimum of 7 years of all paper copies and a minimum of 10 years of all microfiche and digital images 2 DE Admin Code 2200 6 CFR 37 21 DE Code 31	**5/1/2001** **12/1/2004** **6/15/2005** **12/11/2012**
	COMPUTER OUTPUT (ML)			

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
XML-001	**SCHOOL BUS DRIVER RECORDS** Show driving record information (points, violations, etc.)		Replace as updated	**5/1/2001** **12/1/2004** **6/15/2005**
XML-002	**UNUSED LICENSE NUMBERS** Numerical list of unused license numbers		Replace as updated	**5/1/2001** **12/1/2004** **6/15/2005**
	MOTORCYCLE RIDER EDUCATION PROGRAM			
MM-001	**PROGRAM FILES** May contain the following: A. Course Reporting Forms B. Skill Evaluation Score Sheets C. Knowledge Tests – Item Analysis D. Course Participant Survey – Tally E. Student Activity Sheets F. Course Evaluation Forms G. Class Completion Reports – Insurance Liability Reduction Form		Retain at agency 3 years; destroy. **Note: Rider education courses taught by private industry are required to keep records 3 years. This update makes all course retention uniformed.**	**5/1/2001** **12/1/2004** **6/15/2005** **12/2010**
	DRIVER IMPROVEMENT			

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MDI-001	**SUSPENSION FILES** Documentation of offenses resulting in temporary suspension and subsequent reinstatement of a driver's license May contain: (1) Notice and Order of Suspension. (2) Driving Record; and (3) Other Documents Arranged as follows: **A. Deletions/Modifications** Driver Improvement Unit (Suspension and Revocations) actions or convictions deleted from driving record due to on-time compliance, dismissals, incorrect dispositions and processing errors, etc. **B. Lifted/Reinstated Files** Suspension action lifted/reinstated. Case closed due to death of driver. **C. Active/Non-Completed Files** 1. Respondent files undergoing no subsequent action; suspension-still active. 2. Automated Suspension Lists – printed record of electronically processed suspension notices that includes driver information, license number, name, address, date of birth and violation information. These lists are used to process affidavits of mailing notices for court proceedings and should be considered the same as an active suspension file as there will always be names on these listings that will remain suspended.		A. **Deletions/Modifications –** scan and retain on digital system for 5 years; remove from system. (*) B. **Lifted/Reinstated Files –** scan and retain on digital system current year plus 3 years; remove from system. (*) C. **Active/Non-Completed Files** – scan and retain on digital system. When all requirements have been satisfied, remove from system. (*) **Note: Active suspension records should be retained on system in digital format until Attorney General's office issues written approval to destroy.** **(*) Any paper format suspension file may be destroyed once the documents are digitally stored and accessible for use by DMV.**	**6/27/2000** **5/1/2001** **12/1/2004** **6/15/2005**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MDI-002	**REVOCATION FILES** Documentation of offenses resulting in long-term revocation of driver's license May contain: (1) Official Notice and Order of Revocation (Form 529); (2) Official Notice of Revocation (Form 530); (3) Application for Character Investigation; (4) Investigation Report; (5) Implied Consent and Probable Cause Form; and (6) Miscellaneous Correspondence Arranged as follows: **A. Lifted/Reinstated Files** Revocation actions completed. Case closed due to death of driver. **B. Active Files/Non-Completed Files** Respondent files undergoing no subsequent action, revocation still active.		A. Scan and retain on digital system 6 years; remove from system. (*). B. Scan and retain on digital system until all requirements have been satisfied; remove from system.. (*) **Note: Active revocation records should be retained on the system in digital format until Attorney General's Office issues written approval to destroy.** **(*) Any paper format revocation file may be destroyed once the documents are digitally stored and accessible for use by DMV.**	**5/1/2001** **12/1/2004** **6/15/2005**
MDI-003	**HEARING SCHEDULING FILES** Schedule of upcoming administrative hearings	**CONFIDENTIAL**	Retain at agency 1 year; destroy.	**5/1/2001** **12/1/2004** **6/15/2005**
MDI-004	**ADMINISTRATIVE HEARING TAPES** Taped recordings of proceedings at administrative hearings; decisions subsequently noted in main file (MDI-002)	**CONFIDENTIAL**	Retain at agency 1 year and 1 day after revocation hearing; destroy.	**5/1/2001** **12/1/2004** **6/15/2005**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MDI-005	**TRAFFIC VIOLATIONS** Uniform traffic complaints and summonses issued to drivers. Arranged as follows: **VEHICLE DRIVERS** A. Arrest Tickets/Electronic Listing (Delaware drivers in Delaware) B. Arrest Tickets/Electronic Listings (Delaware drivers out-of-state) C. Arrest Tickets/Electronic Listing (out-of-state drivers in Delaware) D. Dismissed (Nolle Prosequi) Arrest Tickets (Delaware Drivers) E. Dismissed (Nolle Prosequi) Arrest Tickets (out-of-state-drivers) F. Digitally stored Arrest Tickets/Conviction Reports		A. Retain at agency 5 years; destroy. Electronic Listings are transferred to DELJIS B. Retain at agency 5 years: destroy Electronic Listings are transferred to DELJIS C. Forward to state of residence upon receipt Electronic Listings are transferred to DELJIS D. Destroy upon receipt. E. Destroy upon receipt. F. Upon accessibility to DMV, destroy paper copy.	**5/1/2001** **12/1/2004** **6/15/2005**
MDI-006	**MEDICAL FILES** Documentation of special medical circumstances affecting a person's driving ability. May include doctor's recommendations, medical exams, written and road tests, other documents **A. Non-Commercial Driver License Medical Files** 1. Active 2. Closed/inactive **B. CAL Medical Files** 1. Active 2. Closed/Inactive **C. Digitally Stored Files/Documents**	**CONFIDENTIAL**	**Active Medical Files** Scan as soon as practical; destroy paper after verification. **Closed/Inactive Medical Files** Retain at agency for 5 years following closure or inactivity; transfer to State Records Center for 75 years; destroy **Note: These records will be digitized in 2005**.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MDI-007	**COMMERCIAL DRIVER LICENSE DISQUALIFICATION FILES** Documentation of offenses resulting in temporary or lifetime disqualification of a commercial driver's license File may contain: Order of Disqualification; Driving Record; court disposition of documentation; other documentation. **A. Active File** **B. Lifted / Reinstated File** Number of years relative to severity of offense **C. Driver Fitness** Medical fitness form for commercial drivers stating they are fit to drive commercial sized vehicles. Drivers' personal information	**CONFIDENTIAL**	A. Retain at agency 10 years; transfer to State Records Center for 70 years; destroy. B. Retain at agency for current year. Subsequent year files transferred to State Records Center for 80 years; destroy. C. Retain at agency until scanned into digital imaging system; originals destroyed once verified in system **Note: If these records are digitized, maintain them on the system and do not transfer to State Records Center. Destroy any paper after verification on system.**	**5/1/2001** **12/1/04** **12/2010** **4/29/2013**
	FRAUD AND INVESTIGATION UNIT			
FIU-001	**INVESTIGATION REPORT** Investigative reports that are created for fraud cases involving all sections within Motor Vehicle these files may include the incident report, case notes, evidence relevant to the investigation rather these investigation are Substantiated Cases, Unsubstantiated Cases or Administrative Hearings and Orders.	**CONFIDENTIAL**	Retain at agency 5 years; destroy. **Note:These files are maintained on the internal drive in a secured folder and only employees of the unit have access.** 29 DE Code 100	**10/29/2013**
FIU-002	**DEALERSHIP'S INSPECTION REPORTS** Inspections for all dealerships within the State of Delaware are conducted to verify the dealer has all information needed. If an inspection warrants an investigation, the Fraud Unit will conduct. These files may contain inspection forms, investigation forms and any other information gathered if an investigation is started		Retain at agency 5 years; destroy 21 DE Code 63	**10/29/2013**
	MOTOR FUEL TAX			
MFT-002	**MF/SF LICENSE APPLICATION FILES**		**Moved to Motor Fuel Special Fuel Section**	**12/2009** **3/2/2016**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MFT-003	**MF/SF ACCOUNT FILES**		**Moved to Motor Fuel Special Fuel Section**	**12/2009** **3/2/2016**
MFT-006	**BANKRUPTCY FILES**		**Moved to Motor Fuel Special Fuel Section**	**12/2009** **3/2/2016**
MFT-008	**REFUND CLAIM FILES**		**Moved to Motor Fuel Special Fuel Section**	**12/2009** **3/2/2016**
MFT-009	**INTERNATIONAL FUEL TAX AGREEMENT (IFTA) FILES** Contains account history of fuel carriers. Replaces MFT-001 as of July 1, 1996 Contains the following: A. Applications B. Decal Registrations C. Tax Reports D. Assessments E. Correspondence	**CONFIDENTIAL**	Scan to optical disk on own server; retain originals until image is verified; destroy originals. Retain disk at agency 4 years; successful audit; destroy.	**12/2009**
MFT-011	**INTERNATIONAL REGISTRATION PLAN (IRP) FILES effective 1/10/1995** Initial registration with subsequent information, which may contain billing, details, insurance, inspections, renewal notices and 2290 forms		Scan to optical disk on own server; retain originals until image is verified; destroy. Retain disk at agency 4 years; successful audit; destroy.	**12/2009**
MFT-012	**INTERNATIONAL FUEL TAX AGREEMENT (IFTA) JURISDICTIONAL FILES AND INTERNATIONAL REGISTRATION PLAN (IRP) JURISDICTIONAL TRANSMITTAL FILES** Transmittals received from other jurisdictions regarding base jurisdiction distribution of monies collected under the IFTA and IRP. Contain transmittal form, summary sheet, cover letter and supporting documentation. A. IFTA Documents B. IRP Documents		A. Retain in agency 4 years; successful audit; destroy. B. Retain in agency 4 years; successful audit; destroy.	**12/2009**
MFT-013	**HAULING PERMITS AND BLOCK HAULING PERMITS**		**Moved to Transportation Solutions/Traffic**	**12/2009** **3/2/2016**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MFT-014	**DAILY AND MONTHLY DEPOSIT RECORDS** Daily revenue reports collected from systems and compiled for monthly press release. Contain background for accountant. Daily and monthly reports are filed together. A. IRP B. IFTA		Input to web-based database. Verify information and destroy paper records. Maintain records on database 4 years; successful audit; remove from system.	**12/2009** **3/2/2016**
MFT-015	**PRESS RELEASE** Summary report of all monies collected by section in Transportation Services along with bank reconciliations and financial history of the sub accounts. Financial audits are done through detail deposit information from each section.		Scan to optical disk monthly; retain originals until images are verified; destroy paper copies. Retain 5 years; successful audit; destroy.	**12/2009**
MFT-016	**FUEL TRACER REPORTS**		**Moved to the Motor Fuel Special Fuel Section**	**12/2009** **3/2/2016**
MFT-017	**DIRECT ACCESS PROGRAM APPLICATIONS** These applications are for companies to get information on employees concerning their driving record. These applications consist of 13 pages with signed consent forms from employees		Scan into database; retain originals until image are verified; destroy paper copies; retain at agency 3 years plus current; delete from database. 21 DE Code 47 2 DE Admin Code 2244 49 CFR 300-399	**7/11/2013**
MFTA-001	**AUDIT CASE FILES**		**Moved to Motor Fuel Special Fuel Section**	**12/2009** **3/2/2016**
MFTA-002	**AUDIT CARDS (FORM MFT-019)**		**Moved to Motor Fuel Special Fuel Section**	**12/2009** **3//2016**
XMFTA-001	**AUDIT ADDRESS REPORTS** **Job E45A0304**		**Moved to Motor Fuel Special Fuel Section**	**12/2009** **3/2/2016**
XMFTA-002	**AUDIT LOCATION REPORTS** **Job G45F1504 (Account Name)** **G45F1604 (ZIP Code)**		**Moved to Motor Fuel Special Fuel Section**	**12/2009** **3/2/2016**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
PC-001	**PUBLIC CARRIER REGULATORY FILES**	**CONF**	**Moved to Delaware Transit Corporation**	**10/19/2011** **3/2/2016**
	MOTOR FUEL SPECIAL FUEL TAX EXAMINATION AND INVESTIGATION			
MFT-002	**MF/SF LICENSE APPLICATION FILES** Detail account history of fuel suppliers. Contain the following: A. Application B. Surety Bond C. Copy of Issued License D. Correspondence		A. Annually transfer Application, Copy of Issued B. Maintain Surety Bond at agency 5 years; successful internal audit; destroy. C. And D. License and Correspondence to MFT-003 and interfile prior to scanning 2 DE Admin Code 2245 6 DE Code 29	**12/2009** **3/2/2016**
MFT-003	**MF/SF ACCOUNT FILES** Detail account history of fuel suppliers. Contain the following: A. Tax Reports B. Paid Assessments C. Electronic Transfer Verification D. Schedule of Receipts E. Schedule of Disbursements F. Miscellaneous Correspondence Also transferred from MFT-002: A. Application B. Copy of Issued License C. Correspondence	**CONFIDENTIAL**	Scan to optical disk annually; retain originals until image is verified; destroy. Retain image at agency 3 years; successful audit; destroy. 2 DE Admin Code 2245 6 DE Code 29	**12/2009** **3/2/2016**
MFT-006	**BANKRUPTCY FILES** Contains copies of court orders and related Motor Fuel documents plus correspondence for Delaware companies licensed with Motor Fuel Tax. Arranged as follows: A. Paid Claims B. Claims Filed C. No Claims Filed	**CONFIDENTIAL**	A. Retain through current year plus 1 additional year; successful audit; destroy. B. Retain at agency until paid; move to MFT-006A. C. Retain through current fiscal year; successful audit; destroy.	**12/2009** **3/2/2016**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MFT-008	**REFUND CLAIM FILES** Contain the following for Non-Highway/Taxi Cab: A. Application for Tax Refund B. Backup Documentation Tapes/Receipts C. Payment Vouchers D. Miscellaneous Correspondence	**CONFIDENTIAL**	Retain at agency for 3 years; successful audit; destroy.	**12/2009** **3/2/2016**
MFT-014	**DAILY AND MONTHLY DEPOSIT RECORDS** Daily revenue reports collected from systems and compiled for monthly press release. Contain background for accountant. Daily and monthly reports are filed together. **Motor Fuel Special Fuel**		Input to web-based database. Verify information and destroy paper records. Maintain records on database 4 years; successful audit; remove from system.	**12/2009** **3/2/2016**
MFT-016	**FUEL TRACER REPORTS** Tax returns, assessments, credit, account and bond information from on-line database May be accessed as necessary.		Access and use as needed to complete transactions. Keep until no longer needed; remove from system. 21 DE Code 47 2 DE Admin Code 2244 49 CFR 300-399	**12/2009** **3/2/2016**
MFTA-001	**AUDIT CASE FILES** Arranged as follows: **Continuing Files** Contain the following: A. Most Recent Audit Letter B. Most Recent Audit Assessment Schedule C. Documentation that includes, but is not limited to organizational structure, accounting systems, physical location, and contact person(s). **Work Paper Files** Contain the following: A. Audit Notice Letter B. Letter Audit Report C. Assessment Schedule D. Audit Program (including cover sheet) E. Other Supporting Schedules F. Related Correspondence		**Continuing Files** Maintain hard copy file, as well as electronic backup, at agency until 2 years after dissolution of business; destroy. **Work Paper Files** Retain through current year plus 3 additional years; successful audit; destroy. 21 DE Code 47 49 CFR 300-399	**12/2009** **3/2/2016**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MFTA-002	**AUDIT CARDS (FORM MFT-019)** Show name, address, and type of license, license number, date, audit period, findings and reference.		Maintain at agency. If inactive for 5 years; destroy.	**12/2009** **3/2/2016**
XMFTA-001	**AUDIT ADDRESS REPORTS** **Job E45A0304** Show ZIP, account number, registration/audit names, street/city, last audit, auditor and number of decals.		Replace as updated; retain year-end printout 3 years; successful audit; destroy 21 DE Code 47 49 CFR 300-399	**12/2009** **3/2/2016**
XMFTA-002	**AUDIT LOCATION REPORTS** **Job G45F1504 (Account Name)** **G45F1604 (ZIP Code)** Show account number, FEI/SSN, phone number, account names, location/mailing/audit addresses, audit/beginning/end dates, auditor, disk number, license number/status/type, effective/removal date and bond number/account.		Replace as updated. 21 DE Code 47 49 CFR 300-399	**12/2009** **3/2/2016**
	TOLL OPERATIONS			
MO-001	**SENIOR LEADER'S CORRESPONDENCE FILES** **A. Correspondence** Incoming and outgoing letters and memoranda pertaining to the formulation, planning and implementation of the mission, policies, programs, operations and projects of the section.. **B. Routine Correspondence** Consists of correspondence providing general information, replying to complaints and requests for information, referring inquiries elsewhere, forwarding materials, acknowledging incoming letters, making arrangements for routine meetings or other events, and similar matters of minor administrative character which contain no substantive information.		A. Cut off/review annually; successful audit; transfer to Delaware Public Archives for permanent preservation. B. Cut off/review annually; successful audit; destroy.	**2007**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HOD-004	**SECTION FILES** A. Activity reports and correspondence from or relating to organizational units of Toll Operations B. Personnel Information	**CONF**	A. Cut off/review annually; successful audit; destroy. B. Retain in office until employment termination; transfer to Human Resources for comparison and purging.	**2007**
HOD-005	**LEGISLATIVE FILES** Correspondence and memoranda relating to appropriations and authorizations		Cut off/review annually; successful audit; destroy.	**2007**
HOD-006	**EXTERNAL CORRESPONDENCE** Correspondence with parties outside state government		Cut off/review annually; successful audit; destroy.	**2007**
DTAF-001	**BANK TRUST STATEMENTS** A. Trustee Principle Asset Statement Provides monthly statement of investments and principle asset summary B. Trustee Transaction Statement Provides monthly statement of daily income and principal Obsolete record after July 1, 1996		A. Retain at agency for 3 years after successful audit. Transfer to Delaware Public Archives for permanent preservation. **Obsolete record after July 1, 1996** B. Retain at agency until successful audit. Transfer to Delaware Public Archives for permanent preservation. **Obsolete record after July 1, 1996**	**2007**
DTAF-002	**CANCELLED CHECKS** Document payments made to and from Operations and Payroll		**Obsolete record after July 1, 1996**	**2007**
DTAF-003	**SPECIAL FUND REQUISITIONS** Authorize paying agent to make major construction or capital expenditures. File contains correspondence, vendor bills or construction project estimate formats, references and authorized signatures.		**Obsolete record after July 1, 1996**	**2007**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DTAF-004	**VENDOR FILES** Document operating expenses File contains purchase orders, vendor bills (for goods and services), disbursement checks and other pertinent documentation such as correspondence and proposals.		Retain at agency; successful audit; destroy.	**2007**
DTAF-005	**NON-REVENUE ACCOUNT RECORDS** This series documents issuance of free toll cards or E-Z Pass devices to police, fire and other emergency services from Delaware and out-of-state municipalities Devices are provided to grant free passage through the toll plazas during official duty. Records in this series consist of the request for a non-revenue account, documentation of the card /device number issued in response, name, address and related information of contact person.		Retain for 3 years after card /device has been deactivated; successful audit; destroy.	**2007**
DTAF-006	**AGENCY BILLING RECORDS – EZ PASS** Documents issuance of toll cards or EZ Pass devices to other state agencies and the amounts billed for card/device use. Records in this series include lists of card/device numbers used by a specific agency over a specified time Includes individual documentation for each card issued, including date of issue, agency, dates of use and toll amounts accumulated by the card/device.		Retain for current and past fiscal year; successful audit; destroy.	**2007**
DTAF-007	**SMYRNA REST AREA RECORDS** Chronological files containing copies of PVs and supporting documentation, ledger sheets for purchases, monthly profit and loss analysis of charge reports, inventory sheets, copy of cash collection report, open item status report, statements from vendors, memos and annual reports.		Retain at agency 3 years; successful audit; destroy. Exception: send two (2) copies of annual report to Delaware Public Archives for Delaware Documentation.	**2007**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
DTAT-001	**COLLECTOR'S DAILY REPORT** Used to reconcile daily deposits to daily audits Reports contain bank deposit slip, wide load forms, toll defaults, itemized tickets and notations of any unusual occurrences.		Retain at agency 1 year; successful audit; destroy.	**2007**
DTAT-002	**RETURNED TOLL TICKETS** Prepaid convenience toll tickets, which are cancelled when turned in to collectors.		Cancelled tickets are to be destroyed daily for reasons of security.	**2007**
DTAT-003	**TOLL TRANSACTIONS** Individual transaction data tapes There are no credit card information in this data.		Retain at offsite contracted data storage vendor for 3 years after creation; destroy	**2/2/2011**
TOEZ-001	**E-Z PASS CORRESPONDENCE** Comprehensive file for correspondence relating to the E-Z Pass program		Retain at agency two years, successful audit, transfer to Delaware Public Archives for permanent preservation.	**2007**
	VEHICLE SERVICES			
MR-001	**VEHICLE INSPECTION REPORTS** (FORM MV 210) Show registration/serial numbers, owner's name, gross weight, odometer reading and type of fuel.		Input to computer system; verify; retain on system 1 year; successful audit; delete. Paper input can be destroyed after verification.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MR-002	**REGISTRATION TAX RECEIPT FILES** May contain the following: Schedule of Highway Motor Vehicles (IRS Form 2290)		Retain at agency 1 year; successful audit; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MR-003	**VEHICLE DEALER APPLICATIONS** (FORM MV 29A) Contain data on owners/partners and dealership		Retain at agency 1 year after dissolution of dealership; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MR-004	**DEALER NOTIFICATIONS** (FORM MV 60) Show last titled owner, address, date/make/year, serial number, odometer reading, body style, tag number, dealership name and signature/position of dealership employee.		Retain at agency until system input is verified; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MR-005	**TEMPORARY TAG FILES** (FORM MV 97) Show temporary tag numbers, purchaser, address, dealer/agent signature and date.		Retain at agency until verified in computer system; destroy originals.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MR-006	**VEHICLE REASSIGNMENT FILES** (FORM MV 433) Show reassignment number, issuer firm and address, dealer/agent signature and date.		Retain at agency 1 year; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MR-007	**RECYCLE/DISPOSAL FILES** May contain the following: A. Application for Authority to Dispose of Towed Motor Vehicle by a Wrecker Owner (Form MV 525A) B. Certificate of Authority to Dispose of a Towed Vehicle (Form MV 526A) C. Application for Assumption of Ownership of an Abandoned Motor Vehicle by a Delaware Licensed Automotive Recycler (Form MV 525B) D. Certificate of Authority to Dispose of a Vehicle by an Automotive Recycler (Form MV 526B) E. Original Vehicle Titles F. Tow Company Slips G. Vehicle Inspection Reports		Retain at agency 3 years; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MR-008	**GROSS VEHICLE WEIGHT REGISTRATIONS** Show date, name/company, owner, make, year, plate number, VIN, number of pounds and signature		Retain until verification in computer system; destroy originals. Maintain in system at agency 20 years; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
	COMPUTER OUTPUT			

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
XMR-001	**REGISTRATION FILES (R45ZP107)** Contain expired and reissued tag information as follows: A. History by Registration Number B. History by Vehicle Identification Number (VIN) C. History by Name D. History by Special Tag		Retain COM at agency 10 years; transfer to Archives for continuing research access. Retain COM original master permanently at Delaware Public Archives.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
XMR-002	**DEALER RENEWALS/LEDGERS (R45ZS507/R45D1507)** Show name, address, dealership type, tag numbers issued and expiration.		Replace as updated.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
	TITLES			
MT-001	**TITLE APPLICATION FILES** Arranged as follows: **Vehicle** - show data on buyer and vehicle being titled **Mobile Homes** – contain manufacturer's statement of origin, name(s) of previous/current owner(s), application, lien contract and power of attorney.		Retain until verification in computer system; destroy originals. Maintain on system at agency 20 years; destroy. 21 DE Code 21, 21 DE Code 23, 21 DE Code 25 2 DE Admin Code 2200	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MT-002	**STOLEN VEHICLE FILES** Contain surrendered title and letter acknowledging receipt of same.		Retain until verification in computer system; destroy originals. Maintain on system at agency 10 years; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MT-003	**POWER OF ATTORNEY FORMS** Contain vehicle description and statements of seller and dealer regarding odometer reading.		Retain until verification in computer system; destroy originals. Maintain on system at agency **10 years for in-state** and **1 year for out-of-state**; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MT-004	**LIEN REGISTERS** Show vehicles, which have had liens, placed against them. **Note:** As of January 1991, lien register books no longer exist; information, including expired tags and satisfied lien, as maintained on the computer system.		Scan and destroy paper after verification; retain on system 8 years or satisfaction of lien,; remove from system 21 DE Code 21, 21 DE Code 23, 21 DE Code 25 2 DE Admin Code 2200	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MT-004A	**LIEN REGISTERS FOR MOBILE HOMES** Show mobile homes, which have liens against them.		Scan and destroy paper after verification; retain on system 8 years or satisfaction of lien,; remove from system 21 DE Code 23, 21 DE Code 25, 2 DE Admin Code 2200	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MT-005	**SALVAGE CERTIFICATES** Show proof of ownership and transfer; utilized mainly for insurance company purposes.		Retain until verification in computer system; destroy originals. Maintain on system at agency 20 years; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
MT-006	**TITLE BRAND STATEMENTS** (Out-of-state) Statement where DMV describes type of salvage (flood, reconstruction, etc.) Acknowledgement signed by buyer of knowledge of salvage.		Retain until verification in computer system; destroy originals. Maintain on system at agency 1 year; destroy. 21 DE Code 21, 21 DE Code 23, 21 DE Code 25 2 DE Admin Code 2200	**5/1/2001** **12/1/2004** **6/15/2005** **4/29/2013**
	UNINSURED MOTORIST			
MUM-001	**AUDIT CASE FILES** Arranged as follows: A. No Penalties Assessed B. Penalties Assessed and Collected C. Vehicle Transferred/Junked D. Tags Surrendered/Penalty Due E. Suspended Registration F. Suspended Licenses G. License/Registration Reinstated	**CONFIDENTIAL**	A. Retain at agency 3 months; destroy. B. Retain at agency through successful audit; destroy. C. Retain at agency 3 months or until title transfer is completed, whichever is longer; destroy. D. Retain at agency 1 year after expiration of registration; destroy. E. Retain at agency 1 year and 1 day after expiration of registration; destroy. F. Maintain at agency until subsequent action is initiated; transfer to MUM-001 (G) G. Retain at agency 3 years and a day; destroy. **Note: Insurance companies are only allowed access to driver records for the past 3 years. There is no business need to keep them for 5 years.**	**5/1/2001** **12/1/2004** **6/15/2005** **12/2010** **4/29/2013**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MUM-002	**AUDIT CASE LOGS** In house tracking mechanism documenting workflow. Contains number assigned after audit, person's name and vehicles.		Retain at agency 6 months; destroy.	**5/1/2001** **12/1/2004** **6/15/2005** **12/2010** **4/29/2013**

Agency Notes:

1. Delaware Code
   a. 29 DE Code 5 Public Records
   b. 29 DE Code 100 Freedom of Information Act (FOIA)
   c. 6 DE Code 12A Uniform Electronic Transaction Act
   d. 21 Del Code 3 Motor Vehicles-Department of Public Transportation and Department of Safety and Homeland Security
   e. 21 DE Code 27 Motor Vehicles- Driver's License
   f. 21 DE Code 31 Motor Vehicles - Non Driver Identification Cards
   g. 21 DE Code 63 Motor Vehicles – Sale of Motor Vehicles
   h. 21 DE Code 47 Motor Vehicles-Motor Carrier Safety-Responsibility
   i. 30 DE Code 51 State Taxes-Motor Fuel Tax
   j. 21 DE Code 21 Motor Vehicles – Registration of Vehicles
   k. 21 DE Code 23 Motor Vehicles – Title and Liens
   l. 21 DE Code 25 Motor Vehicles – Transfer of Title, Registration and Liens
   m. 21 DE Code 29 Motor Vehicles – Motor Vehicle Safety – Responsibly
   n. 6 DE Code 29 Commerce and Trade – Retail Sales of Motor Fuel
2. Delaware Administrative Code
   a. 2 DE Admin Code 2200 Transportation – Motor Vehicle
   b. 2 DE Admin Code 2200 Transportation – Motor Vehicle – Driver Services
   c. 2 DE Admin Code 2200 Transportation – Motor Vehicle – Vehicle Services
   d. 2 DE Admin Code 2244 Transportation – Motor Vehicle-Motor Fuel Tax Regulations
   e. 2 DE Admin Code 2245 Transportation – Motor Vehicle – Office of Retail Gasoline Sales
3. Federal Code
   a. 6 CFR 5 Domestic Security – Department of Homeland Security, Office of the Secretary-Disclosure of Records and Information
   b. 6 CFR 37 Domestic Security-Real ID Drive's Licenses and Identification Cards
   c. 49 CFR 300-399 Transportation-Federal Motor Carrier Safety Administration
4. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
5. If data system replaces hard copy, the records have differing retention periods, and agency software does not readily permit selective deletion, then delete records after the longest retention period has expired.
6. Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
7. 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
8. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.

Notes: Retention Schedule Modification History

Series	Title and Explanation and action taken	Retention	Date of change
	Motor Vehicle was under Record Group number 1660 Department of Public Safety until FY03		
MDI-006	**MEDICAL FILES**	Added CONF	4/29/2013
MDI-007	**COMMERCIAL DRIVER LICENSE DISQUALIFICATION FILES**	Added CONF	4/29/2013
MFT-017	**DIRECT ACCESS PROGRAM APPLICATION –** created	3 years plus current in database	7/11/2013
MT-002	**STOLEN VEHICLE FILES**	Changed from paper to scanned documents	4/29/2013
MT-003	**POWER OF ATTORNEY FORMS**	Changed from paper to scanned documents	4/29/2013
MT-004A	**LIEN REGISTERS FOR MOBILE HOMES**	Changed from paper to scanned documents	4/29/2013
MT-006	**TITLE BRAND STATEMENTS**	Changed from paper to scanned documents	4/29/2013
All series reviewed			4/29/2013
	REMOVED SERIES NO LONGER USED		3/2/2016
ADM-010	PUBLIC CARRIER FILES – Deleted because it was duplicated under PC-001		10/19/2011
MFT-001	MOTOR CARRIER ACCOUNT FILES – Not used since 7/1996 Replaced by MFT-009		12/2009
MFT-004	TEMPORARY PERMIT FILES – Not used since 7/1996		12/2009
MFT-005	PAID FINE FILES – Not used since 1990		12/2009
MFT-007	REFUND CLAIM CARDS – Not used		12/2009
MFT-010	ASSESSMENTS - Included in MFT-009		12/2009
XMFT-001	ACCOUNT BALANCE REPORTS – Not used since 7/1996		12/2009
XMFT-002	NEW LICENSES – Not used since 7/1996		12/2009
XMFT-003	MOTOR FUEL EXEMPT ACCOUNTS- Not used since 7/1996		12/2009
XMFT-004	MASTER LISTING OF ACCOUNTS- Not used since 7/1996		12/2009
XMFT-005	LISTING OF ACCOUNTS- Not used since 7/1996		12/2009
XMFT-006	LICENSES NOT RENEWED- Not used since 7/1996		12/2009
XMFT-007	SOURCE OF SUPPLY REPORTS- Not used since 7/1996		12/2009
XMFT-008	DELINQUENT NOTICE LISTS- Not used since 7/1996		12/2009
XMFT-009	TAX DATA REPORTS- Not used since 7/1996		12/2009
XMFT-010	LICENSE LISTINGS- Replaced by Fuel Tracer Report		12/2009
XMFT-011	NEW LICENSES- Moved into XMFT-010		12/2009
XMFT-012	SPECIAL FUEL EXEMPT ACCOUNTS- Replaced by Fuel Tracer Report		12/2009
XMFT-013	MOTOR FUEL EXEMPT ACCOUNTS- Replaced by Fuel Tracer Report		12/2009
XMFT-014	MASTER LISTING OF ACCOUNTS- Replaced by Fuel Tracer Report		12/2009
XMFT-015	LISTING OF ACCOUTNS- Not used since 7/1996		12/2009
XMFT-016	LICESNES NOT RENEWED- Replaced by Fuel Tracer Report		12/2009
XMFT-017	SOURCE OF SUPPLY REPORTS - Replaced by Fuel Tracer Report		12/2009
	MOVED FROM MOTOR FUEL TAX SECTION TO MOTOR FUEL SPECIAL FUEL SECTION		3/2/2016
MFT-002	MF/SF LICENSE APPLICATION FILES		
MFT-003	MF/SF ACCOUTN FILES		
MFT-006	BANKRUPTCY FILES		
MFT-008	REFUND CLAIM FILES		
MFT-014E	DAILY AND MONTHLY DEPOSIT RECORDS-MOTOR FUEL SPECIAL FUEL		

MFT-016 FUEL TRACER REPORTS

MOVED FROM MOTOR VEHICLE-MOTOR FUEL TAX SECTION TO TRANSPORTATION SOLUTIONS-TRAFFICE

MFT-013 HAULING [ERMITS AND BLOCK HAULING PERMITS

MFT-014C DAILY AND MONTHLY DEPOSIT RECORDS

MOVED FROM MOTOR VEHICLE – MOTOR FUEL TAX SECTION TO DELAWARE TRANSIT CORPORATION

MFT-014D DAILY AND MONTHLY DEPOSIT RECORDS

PC-001 PUBLIC CARRIER REGULATORY FILES

STATE OF DELAWARE
DELAWARE PUBLIC ARCHIVES

Record Group: **1540**
Agency: **TRANSPORTATION**
Division: **OFFICE OF THE SECRETARY**

2/14/2007

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
SEC-001	**SECRETARY'S FILES** Incoming and outgoing letters and memoranda pertaining to the formulation, planning and implementation of the mission, policies, programs operations and projects of DelDOT		Retain at agency; successful audit; transfer to Delaware Public Archives for permanent preservation.	
SEC-002	**SECRETARY'S BLUE COPIES** Chronological file of outgoing correspondence		Retain current year plus 2 years at agency; successful audit; destroy.	
SEC-003	**AGREEMENTS** Signature copy of agreements and memoranda of understanding with other state agencies, other states, national organizations, local governments and municipal planning organizations (Mops)	**VITAL**	Retain at agency until agreement has expired or terminated; transfer to Delaware Public Archives for permanent preservation.	
SEC-004	**ST. GEORGE'S BRIDGE FILES** Correspondence with the U.S. Army Corps of Engineers, members of the U.S. Congress, testimony and legal opinions regarding ownership of the St. George's Bridge.	**VITAL**	Retain at agency until issue is resolved. Transfer to Delaware Public Archives for permanent preservation.	
SEC-005	**MONTHLY REPORTS** Activity reports submitted to the Secretary for information purposes.		Retain at agency; successful audit; destroy	
SEC-006	**TELEPHONE LOGS**		Please use the General Retention Schedule	
SEC-007	**CALENDARS**		Please use the General Retention Schedule	
SEC-008	**PERSONNEL FILES**	**CONFIDENTIAL**	Please use the General Retention Schedule	
SEC-009	**FINANCIAL DOCUMENTS** Copies of payment vouchers, invoices and personal expense reimbursements		Retain at agency; successful audit; destroy.	

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
SEC-010 (SEC-013)	**CHIEF AND ASSISTANT CHIEF ENGINEER'S GENERAL FILES** A. Policy and Program Records B. Administrative Support Records C. Transitory Correspondence D. Reports and Other Project Documents E. Contracts, Agreements and Leases F. Professional Services Contracts		A. Please use the General Retention Schedule B. Please use the General Retention Schedule C. Please use the General Retention Schedule D. Please use the General Retention Schedule E. Please use the General Retention Schedule F. Please use the General Retention Schedule	
SEC-011	**CHIEF ENGINEER'S BLUE COPIES** Chronological file of outgoing correspondence		Retain current year plus 2 years at agency; successful audit; destroy.	
SEC-012	**APPLICATIONS FOR COMPRESSED WORK WEEK**		Retain current year plus 1 year at agency; destroy.	
EA-006 Moved from Public Relations 2/14/07	**COUNCIL ON TRANSPORTATION FILES** Minutes, agenda, reports, appointment letters, handouts and other related documents.		Transfer current files to the Secretary's office. Retain originals at agency 2 years; transfer to Delaware Public Archives for permanent preservation. Retain duplicate copies at agency 10 years or until Sunset Committee review; destroy.	
	AUDIT			
ADM-011 (OAA1)	**EXTERNAL AUDIT REPORTS** Documents financial and regulatory compliance of organizations doing business with DelDOT and the Federal Highway Administration Includes pre-award, interim and final audit reports, proposals, consultant agreements and overhead audits		Retain at agency until successful audit is complete; transfer to Delaware Public Archives for permanent preservation.	**7/2006** **1/27/2015**
ADM-012 (OAA1)	**INTERNAL AUDIT REPORTS** Internal audits include requested reviews of internal policy or procedure, construction claims and reimbursable programs Contains results of special audits of departmental activities including construction projects		Retain at agency until successful audit is complete; transfer to Delaware Public Archives for permanent preservation.	**7/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
ADM-014	**MUNICIPALITY AUDIT REPORTS** Record of disbursements, including audits of state funded local transportation facilities.		This series was moved into ADM-011	**7/2006** **1/27/2015**
	DISADVANTAGED BUSINESS ENTERPRISE (DBE)			
ADM-017	**CONSULTANT REGISTRATION REPORT (ALPHABETICAL FILES)** Information received from consultant, which is entered onto Outside Provider Database. Computer reports are generated on as needed basis.	**CONFIDENTIAL**	Retain at agency 3 years; transfer to DRC 7 years; destroy.	**7/2006** **1/27/2015**
ADM-018	**MONTHLY REPORTS** Reports listing agreements and supplemental agreements signed each month, new agreement numbers assigned, new consultants registered with DelDOT and firms short-listed and selected for each month. Reports are distributed to the Secretary and all division directors.		Retain at agency 5 years; destroy.	**7/2006** **1/27/2015**
ADM-020	**DISADVANTAGED BUSINESS ENTERPRISE (DBE) CONTRACT FILES** Copies of federally funded contracts containing goals; subcontract agreements confirming DBE participants; project monitoring information		Retain at agency until work is completed; transfer to DRC for 3 years from starting date or until resolution of all issues arising from litigation, claim, negotiation, audit, or other action involving the records, whichever is later; successful audit; destroy. 49 CFR part 26	**7/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
ADM-021 (CR04)	**DBE APPLICATION FOR CERTIFICATION FILES** Contain information submitted by companies for certification as a disadvantaged business. Contain certification, application, and affidavit, supporting documentation, correspondence and determination of certification.	**CONFIDENTIAL**	A. Granted: Retain at agency 3 years following completion of the contract work; destroy. B. Denied: Retain at agency for 6 months during appeal period; destroy. C. Appealed: Retain at agency 1 year after resolution; destroy. D. Not appealed: Retain at agency, 1 year (can apply for re-certification after 1 year); destroy. E. Graduated firms: Retain at agency 1 year, then reapply; destroy. 49 CFR part 26 23 CFR 230 A-APP A 10b 23 CFR 633	**7/2006** **1/27/2015**
ADM-022	**COMPLIANCE REVIEWS** Copies of compliance data reports and letters to contractors concerning findings submitted to the Federal Highway Administration.		Retain at agency until contract is completed; transfer to DRC for 3 years; destroy. 49 CFR part 26 23 CFR 230.101 23 CFR 230.121	**7/2006** **1/27/2015**
CR01	**APPLICATION FLOW DATA (EEO SLIPS)** Slips removed from employment applications containing information on race, sex and age. Used to generate Affirmative Action reports	**CONFIDENTIAL**	Retain at agency 4 years; destroy	
CR02	**COMPLIANCE REVIEWS** Document compliance interviews held with each prime contractor holding current federal-aid contracts with DelDOT		Retain at agency 3 years; successful audit; destroy	
CR03	**COMPLAINTS** Document complaints received from DelDOT employees includes action taken if applicable	**CONFIDENTIAL**	Retain at agency 7 years; destroy	
CR05	**FEDERA-AID CONTRACT FILES** Convenience Copy File Documents Location And Status Of State Contracts		Retain at agency 3 years; successful audit; destroy	

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
CR06	**STATE CONTRACTS** Convenience Copy File Documents Location And Status Of State Contracts		Retain at agency 3 years; successful audit; destroy	
CR07	**SUPPORT SERVICES CONTRACT FILES** Document contracts between DelDOT and support services firm Contains correspondence, purchase orders, interviews and administrative fees		Retain at agency 3 years; successful audit; destroy	
	LEGAL AFFAIRS			
LEG-001	**LITIGATION CASE FILES** Files may contain: Court files, background and historical documentation, correspondence, publications, evidence and exhibits, meeting notes, driving records, collection information	**CONFIDENTIAL UNTIL CLOSE OF CASE**	Retain at agency until case closed; review and transfer to Delaware Public Archives for permanent preservation.	**8/1/2005** **1/27/2015**
LEG-002	**FREEDOM OF INFORMATION FILES** Inquiries and responses related correspondence and reports.		Retain at agency 2 years; transfer to DRC 6 years; destroy. 29 *Del. C.* Chapter 100, 8 Del. Admin. C. § 1400	**8/1/2005** **1/27/2015**
LEG-003	**GENERAL CORRESPONDENCE** **A. Policy and Program Records** **B. Administrative Support Records** **C. Transitory Files**		Please use the General Retention Schedule	**8/1/2005** **1/27/2015**
LEG-004	**DIVISION "A TO Z" FILES** Files content questions from the different division/sections to obtain the legal opinion from the DAG		Retain at agency 1 year after completion; destroy	**8/1/2005** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
LEG-005	**COLLECTION FILES** Files include the paper work generated by Finance, and documentation of any efforts Legal takes to collect. The cases we take to court include the court paperwork. The files also include records of payments made. We close the files after we determine they are uncollectable and submit for write off, or after they pay in full.		Retain at agency 3 years after case is closed; transfer to DelDOT Records Center 7 years; destroy.	**DRAFT 10/13/2015**
PLAN-003 Moved from Division of Planning	**LEGAL COUNSEL OFFICE CORRESPONDENCE (BLUE COPIES)** Record copy of outgoing correspondence		Scan and verify paper documents on Legal's shared-drive; destroy paper and retain scanned documents for 3 years at agency.	**8/1/2005** **1/27/2015**
PLAN-004 Moved from Division of Planning	**SPECIAL COUNSEL FILES** Correspondence, reports, drafts and final legislation created by special counsel or reviewed for comment, responses and drafts of state regulations.		Retain at agency 2 years after termination of session; transfer to Delaware Public Archives for permanent preservation	**8/1/2005** **1/27/2015**
PLAN-005 Moved from Division of Planning	**SPECIAL COUNSEL CLAIMS HEARING FILES** Hearings for construction claims before the special counsel files may contain evidence, photographs, tapes, special reports, testimony, transcripts, correspondence with Secretary of Transportation, final briefing paper and final decision	**CONFIDENTIAL VITAL**	Retain at agency until claim is settled. Transfer to DRC for 6 years; destroy.	**8/1/2005** **1/27/2015**
	PUBLIC RELATIONS			
EA-001	**DIRECTORS DESK AND CORRESPONDENCE FILES** All correspondence with media, public and other DelDOT units relating to public relations and information dissemination **A. Policy and Program Records** Incoming and outgoing letters and memoranda, pertaining to the formulation, planning and implementation of the mission, policies, programs, operations and projects of the office. **B. Administrative Support Records** **C. Transitory Records** **D. Personnel Files**	**CONFIDENTIAL**	A. Please use the General Retention Schedule B. Please use the General Retention Schedule C. Please use the General Retention Schedule D. Please use the General Retention Schedule	**2/14/2007**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
EA-002	**LEGISLATIVE PUBLIC OFFICIALS FILES** Contain correspondence and reports pertaining to policy and decision-making, program administration and relations with other government units.	**VITAL**	Retain at agency; successful audit; transfer to Delaware Public Archives for permanent preservation.	**2/14/2007**
EA-003	**DIVISIONAL GENERAL FILES** A. Departmental daily, weekly or monthly activity reports and routine correspondence B. Issuances		A. Retain at agency; successful audit; destroy. B. Submit 2 copies to Delaware Public Archives upon publication. Retain duplicate copies at agency until superseded and successful audit for period in which publication was produced; destroy	
EA-004	**FINANCIAL INFORMATION FILES** Copies of purchase orders		Retain at agency until no longer needed; destroy.	
EA-005	**PERSONNEL FILES**		Please use the General Retention Schedule	
EA-006	**COUNCIL ON TRANSPORTATION FILES**		**Moved to Secretary's Office 2/14/2007**	
EA-007	**PHOTOGRAPHIC NEGATIVE FILE** May be in several formats such as film and glass		Retain at agency 2 years or until no longer needed, whichever is shorter; transfer to Delaware Public Archives for permanent preservation.	
EA-008	**PHOTOGRAPHIC SLIDES** Color slides of departmental activities and construction projects.		Retain at agency 2 years or until no longer needed, whichever is shorter; transfer to Delaware Public Archives for permanent preservation.	
EA-009	**GENERAL CORRESPONDENCE FILES** A. Administrative Support Records B. Transitory Records		A. Please use the General Retention Schedule B. Please use the General Retention Schedule	
EA-010	**PROJECT RELATED FILES** Public workshops and other organized community actions regarding DelDOT projects.		Retain at agency until no longer required for administrative purposes; transfer to Delaware Public Archives for permanent preservation.	

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL / VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
EA-011	**GRAPHIC ARTS FILES** Contains documents used for preparation of graphic material for DelDOT publications. Includes routine artwork for handbills, flyers, posters, letterhead, etc., line and half-tone negatives, screened paper prints and offset lithographic plates used for photomechanical reproduction and line copies of graphs and charts.		Retain negatives in office 20 years; transfer to Delaware Public Archives for permanent preservation. Retain all other material at agency; destroy when publishing contract is destroyed	
EA-012	**PUBLICATION PHOTOGRAPH FILES** Prints of photographs used in annual report, calendar, brochure, employee newsletter and general publications.		Retain at agency 10 years; transfer to Delaware Public Archives for permanent preservation.	
EA-013	**NEWSCLIPPING FILES**		Retain at agency 2 years; transfer to Delaware Public Archives for permanent preservation.	
EA-014	**VIDEO RECORDING FILES** Recordings of press conferences, construction projects and other DelDOT public affairs		Retain at agency 2 years; transfer to Delaware Public Archives for permanent preservation.	
EA-015	**SOUND RECORDINGS AND TRANSCRIPTIONS** Recordings of public hearings on construction projects		Retain at agency 2 years; transfer to Delaware Public Archives for permanent preservation.	

Agency Notes:

1. Delaware Codes
   a. 6 *Del. C.* Chapter 12A Uniform Electronic Transaction Act
   b. 29 *Del. C.* Chapter 5 Public Records Law
   c. 29 *Del. C.* Chapter 100. Freedom of Information Act (FOIA)
2. Delaware Administrative Code
   a. 8 Del. Admin. C. § 1400 Public Information – Transportation-Office of the Secretary
3. Federal Code
   a. 23 CFR 230 A-APP A 10b Highways-External Programs-Equal Employment Opportunity on Federal and Federal-Aid Construction Contacts
   b. 23 CFR 230.101 Highways-External Programs-Equal Employment Opportunity on Federal and Federal-Aid Construction Contacts-Purpose
   c. 23 CFR 230.121 Highways-External Programs-Equal Employment Opportunity on Federal and Federal-Aid Construction Contacts-Reports
   d. 23 CFR 633 Highways-Required Contract Provisions
   e. 49 CFR part 26 Transportation – Office of the Secretary of Transportation – Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs
4. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
5. If data system replaces hard copy, the records have differing retention periods, and agency software does not readily permit selective deletion, then delete records after the longest retention period has expired.
6. Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
7. 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
8. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.
9. See also Model Guidelines for Electronic Records on DPA's website for additional guidance concerning the maintenance, and disposition of electronic records.

Notes: Retention Schedule Modification History

Series	**Title and Explanation and action taken**	**Retention**	**Date of change**
ADM-006 through ADM-009 moved to Finance Division			
ADM-010 Moved to Motor Fuel Tax			

THE SERIES HAVE BEEN DELETED BECAUSE THEY ARE OUT DATED OR THEY CAN BE FOUND WITHIN THE STATE GENERAL SCHEDULES

STATE OF DELAWARE
DELAWARE PUBLIC ARCHIVES

Record Group: **1540**
Agency: **TRANSPORTATION**
Division: **PLANNING**

1/26/1988

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL/ VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
PLAN-001	**DIRECTOR'S SUBJECT FILES** ABC Correspondence AND Policy and Procedures Files Includes reports, studies and projects status reports		Retain at agency; successful audit; transfer to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-002	**DIRECTOR'S CORRESPONDENCE (BLUE COPIES)** Record copy of outgoing correspondence		Retain current year plus two years at agency; successful audit; destroy.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-006	**LEAVE REQUESTS**		Please use the General Retention Schedule	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-007	**GENERAL PAYMENT VOUCHER FILES**		Please use the General Retention Schedule	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-008 (PLAN-021)	**AGREEMENTS** Reference copies of consultant agreements, proposals, reports, plan sheets and copies of payment checks		Retain at agency 3 years after agreement is complete; successful audit; destroy.	**3/13/2000** **8/1/2006** **8/13/2012** **1/27/2015**
PLAN-009	**PERSONNEL FILES**		Please use the General Retention Schedule	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-009	**GRIEVANCES**		Please use the General Retention Schedule	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-010 **PLAN-046**	**POLICY AND PROGRAM RECORDS (PRIMARY MISSION FILES)**		Please use the General Retention Schedule	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-010 **PLAN-046**	**ADMINISTRATIVE SUPPORT RECORDS / CORRESPONDENCE**		Please use the General Retention Schedule	**3/13/2000** **8/1/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL/ VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
PLAN-010 **PLAN-046**	**TRANSITORY FILES / CORRESPNDENCE**		Please use the General Retention Schedule	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-011 (PLAN-012)	**MOTOR VEHICLE ACCIDENT REPORTS AND ACCIDENT STUDY REPORTS** Copies of accident reports received from Delaware State Police for entry into statistical database. Correspondence and summary reports of accident studies **NOTE: PLAN-011 & 012 HAVE BEEN COMBINED**		Cut off/review annually; retain at agency 3 years; destroy. **Note:** These items are kept electronically as of 2005. Delete off system after 3 years	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-013	**MAP FILES** Background material needed for research and creation of current maps of roads and political boundaries		Retain copy at agency permanently; transfer original to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-014	**MUNICIPAL STREET AID PROGRAM FILES** Applications, approvals, request for changes in location, maintenance and safety features, affidavits and authorizations. A. Agreements and correspondence B. All other documents		A. Retain at agency 10 years after project completion; separate from other documents; transfer to Delaware Public Archives for permanent preservation. B. Retain at agency 10 years after project completion; transfer to DRC for 7 years; destroy	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-016	**RESEARCH PROGRAM FILES** Contracts related correspondence, memoranda and financial reports for the transportation research performed by the University of Delaware. Record copies of final printed reports are available at the University of Delaware.		Submit 2 copies to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-017	**ANNUAL WORK PROGRAM FILES** Reports with related correspondence and memoranda		Retain at agency; successful audit, destroy.	**3/13/2000** **8/1/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL/ VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
PLAN-019	**TRANSPORTATION ENHANCEMENT PROGRAM COMMITTEE MINUTES** Minutes of the Executive and Technical Committees DelDOT is responsible for recording and distributing the minutes of meetings attended by state and federal agencies, local governments and citizens		Retain originals at agency 2 years; transfer originals to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-020	**JOINT AGENCY QUARTERLY REVIEW MEETING MINUTES** Minutes, agendas, sign-in sheets, handouts and follow-up documentation. DelDOT is responsible for recording and distributing the minutes for this federal, state and private sector agency group.		Retain originals at agency 2 years; transfer originals to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-022	**TRANSPORTATION ENHANCEMENT PROGRAM** Documents the administration of federal funds. Contains public notices, applications, letter of interest and responses, project selection, committee minutes and drawings.		Retain at agency until work is completed. Transfer to DRC for 3 years from starting dates or until resolution of all issues arising from litigation, claim negotiation, audit, or other action involving the records, whichever is later; transfer to Delaware Public Archives for permeant preservation	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-030	**TRAFFIC IMPACT STUDIES** Files may include traffic data and analysis, including generation and capacity analysis. Created by a traffic engineer on behalf of a private developer to determine the suitability of development from a transportation standpoint and to determine transportation improvements needed during development process by DelDOT staff and engineers		Retain at agency 5 years after study; transfer to DRC for 10 years; destroy.	**3/13/2000** **8/1/2006** **8/2/2012** **1/27/2015**
PLAN-031	**PRELIMINARY TRAFFIC ANALYSIS FILES** County requests for traffic analysis and planning and subdivision plan information, preliminary information for traffic impact study decision.		Retain at agency 5 years after analysis; transfer to DRC for 10 years; destroy.	**3/13/2000** **8/1/2006** **8/2/2012** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL/ VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
PLAN-033	**DELAWARE BICYCLE COUNCIL FILES** Minutes, correspondence, agendas and reports of the Council		Retain at agency 2 years; transfer to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-034	**STATEWIDE BICYCLE AND PEDESTRIAN PLANNING FILES** Correspondence and reports, relating to the planning of bicycle and pedestrian facilities		Retain at agency until project is closed~~;~~—transfer to Delaware Public Archives for permanent preservation. 2 Del. Admin. C. § 2307	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-036	**CORRIDOR PLANNING PROJECT STUDIES** Correspondence, minutes, environmental studies, traffic and technical reports on land use studies, plans and final reports		Retain at agency 5 years; transfer to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **8/2/2012** **1/27/2015**
	AERONAUTICS OFFICE			
PLAN-037	**AERONAUTICS GENERAL FILES** A. Building permits for airport approach zones B. Documents relating to FAA grants C. Invoices D. Copies of Civil Air Terminal (CAT) user documents (company histories), arrival information, landing fees, airport inspections and joint use agreements		A. Retain at agency for 2 years; destroy. 2 *Del. C.* Part 1 2 Del. Admin C. § 2150 14 CFR 77 B. Retain at agency in accordance with prescribed guidelines established by the grantor but at least for 3 years after date of submission of final expenditure report; successful audit; destroy. 14 CFR 152.307 14 CFR 151 C. Retain at agency 3 year; successful audit; destroy. 14 CFR 151.55 D. Retain at agency 2 years; successful audit; destroy.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-038	**INTERMODAL PROGRAM FILES** Correspondence, proposals, contracts and reports used for planning and transportation development funded by state and federal governments.		Retain at agency 3 years from the starting date or until resolution of all issues arising from litigation, claim negotiations, audit, or other action involving the records, whichever is later; transfer to Delaware Public Archives for permeant preservation	**3/13/2000** **8/1/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL/ VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
PLAN-039	**CHRONOLOGICAL FILE** Convenience copy of records in program files.		Retain at agency 2 years; destroy.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-040	**CONTRACTS/PROJECT FILES** Documents work performed under one or more contracts. Contains copies of contract and invoices, backup to invoices, correspondence, drafts, maps, aerial photos, plans, final reports and signed work plans. A. Correspondence, final reports, aerial photographs and plans B. Copies of contracts, invoices, backup to invoices		A. Retain at agency until project is completed; transfer to DRC for one year after successful audit if state funded or 3 years after successful audit if federally funded; transfer to Delaware Public Archives for permanent preservation. B. Retain at agency 1 year after project is complete; delete	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-041	**METROPOLITAN PLANNING ORGANIZATION CONTRACTS** Contains correspondence, minutes of meetings where approvals and modifications are discussed and copies of contract/agreement		Retain at agency until project is completed; transfer to DRC for one year after successful if state funded or 3 years after successful audit if federally funded; transfer to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-042	**PRESENTATION MATERIAL** Graphic material for presentations to the public, legislators and officials Contains overheads, charts, graphics, maps and slides		Retain at agency 2 years; transfer to Delaware Public Archives for permanent preservation	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-043	**REPORTS** Departmental copy of studies, reports and long-range plans, which may be distributed to the public.		Retain 1 copy at agency. Transfer 2 copies to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL/ VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
PLAN-045	**UNFUNDED PROPOSALS** A. Copies of proposals received and not funded; maintained in the Pipeline for reference use. B. Copies of proposals received, not funded, and not maintained in the Pipeline.		A. Retain at agency 3 years; destroy. B. Retain at agency 1 year; destroy.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-046	**CORRESPONDENCE**		Please use the General Retention Schedule	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-049	**TRAFFIC FORECAST FILES** Electronic data used for planning studies and air quality analysis.		Retain at agency until no longer needed; destroy.	**3/13/2000** **8/1/2006** **1/27/2015**
PLAN-050	**TRANSPORTATION AND CORRIDOR STUDIES PROJECT FILES** Contain reports and correspondence relating to land use and travel. Used for long-range planning transportation studies and corridor studies		Retain at agency for 5 years; transfer to Delaware Public Archives for permanent preservation.	**3/13/2000** **8/1/2006** **1/27/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL/ VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
RRP-001	**RECORDATION RECOVERY PROJECT: These records are a combination of sub-division and district files.** Files may contain: Meeting request forms, engineer/surveyor submittal documents, email correspondence, scope letter, notice of proceed, traffic count letter, Traffic Impact Studies (TIS) preliminary review letter, TIS final review letter, Support Facilities Report (SFR) request, SFR response letter, Corridor Capacity Preservation Program (CCPP) comment letters, PLUS comments issued, Technical Advisory Committee (TAC) & Development Advisory Committee (DAC) comments issued, initial stage calculation form & fee, construction stage fee calculation form & fee, design deviation form, sight distance triangle worksheet, pipe cover angle worksheet, checklist (gate-keeping, record plan, commercial, residential), comment letter, traffic mitigation agreement received, no objection letter sent, letter agreement, signal agreement, inspection agreement, approval letter issued, permit application, property owner verification, security complete, preconstruction meeting, semi-final inspection, final inspection, district acceptance recommendation, subdivision acceptance and entrance permits These files are pre-2005 and were processed through the Recordation Recovery Project, and have been electronically scanned, and will be filed according to the Kent County tax map identification number.		Retain at agency until completion of recovery process; transfer DelDOT Records Center 5 years; destroy.	**11/7/2012** **7/1/2013**
SU-001	**SUBDIVISION PROJECT FILES** Agreements, correspondence, memoranda, reports and plans on individual projects including information such as drawings, site layout, right-of-way and traffic. A. Agreements, correspondence, memoranda, reports B. Plans, drawings, site layout		A. Retain at agency 6 months; retire to DRC for 2 years; transfer to Delaware Public Archives for permanent preservation B. Retain at agency; scan; transfer originals to Delaware Public Archives for permanent preservation. 2 Del. Admin. C. § 2308	**3/13/2000** **8/1/2006** **8/2/2012** **1/27/2015**

Agency Notes:

1. Delaware Codes
   2. 2 *Del. C.* Part 1 Transportation - Aeronautics
   a. 6 *Del. C.* Chapter 12A Commerce and Trade – Other Laws Relating to Commerce and Trade – Uniform Electronic Transactions Act
   b. 17 *Del. C.* Chapter 5 Highways-Highways, Roads and Bridges Generally
   c. 29 *Del. C.* Chapter 5 State Government-State Archives and Historical Objects- Public Records
   d. 29 *Del. C.* Chapter 100 State Government – General Regulations for State Agencies – Freedom of Information Act
3. Delaware Administrative Code
   a. 2 Del. Admin C. § 2150 Transportation – Office of Aeronautics
   b. 2 Del. Admin C. § 2300 Transportation-Planning and Policy
   c. 2 Del. Admin C. § 2307 Transportation- Planning and Policy-Delaware Safe Routes to School
   d. 2 Del. Admin C. § 2308 Transportation-Planning and Policy-Development Related Improvements Requiring New Right-of-way
4. Federal Code
   a. 14 CFR 77 Aeronautics and Space – Federal Aviation Administration-Airmen-Safe, Efficient Use, and Preservation of the Navigable Airspace
   b. 14 CFR 151 Aeronautics and Space – Federal Aid to Airports
   c. 14 CFR 151.55 Aeronautics and Space – Federal Aid to Airports – Accounting and Audits
   d. 14 CFR 152.307 Aeronautics and Space –Airport Aid Program-Accounting and Reporting Requirements-Retention of records
5. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
6. If data system replaces hard copy, the records have differing retention periods, and agency software does not readily permit selective deletion, then delete records after the longest retention period has expired.
7. Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
8. 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
9. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.

See also Model Guidelines for Electronic Records on DPA's website for additional guidance concerning the maintenance, and disposition of electronic records.

Notes: Retention Schedule Modification History

Series	**Title and Explanation and action taken**	**Retention**	**Date of change**
RRP-001	**Recordation Recovery Project-** Changed the total retention from 50 years to 5 years	5 years	7/1/2013

THE SERIES HAVE BEEN DELETED BECAUSE THEY ARE OUT DATED OR THEY CAN BE FOUND WITHIN THE STATE GENERAL SCHEDULES

Record Group: **1540**
Agency: **TRANSPORTATION**
Division: **TRANSPORTATION SOLUTIONS**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
AD-003	**CONTRACT FILES-CONSTRUCTION** Correspondence, memoranda, reports, plans, blueprints and photographs Exception: deeds of land acquisition and archival "as built" drawings GAF-026		Retain in office 1 year after completion of final audit if state funded. Retain in office 3 years and completion of successful audit if federally funded; transfer to Delaware Public Archives for permanent preservation.	**2007** **1/5/2015**
AD-007	**PROJECT MANAGEMENT TEAM FILES**		DELETE SERIES COMBINED WITH AD-008	**2007** **1/5/2015**
AD-008	**AGREEMENTS FILES AND COMPREHENSIVE FILE CONSTRUCTION** Contain all documentation for projects for which the section performs quality control, also includes the Project Management Team Files, project correspondence and documents pertaining to design, utility involvement, environmental impact, and construction/structural reports. Include traffic impact studies, minutes of meetings, project plans, maps, results of soil and other tests, change orders, environmental impact statements, transcripts of public meetings, and newspaper articles Shop Drawings received for review and approval, transferred to section supervision and managing the construction project. Contract Specifications, including initial and revised specifications, transferred to Design Support for finalization.		Retain in office until audit is completed for 1 year after completion of successful audit if state funded or 3 years after completion of successful audit if federally funded; transfer to Delaware Public Archives for permanent preservation	**2007** **1/5/2015**
BD-001	**SUBJECT FILES-BRIDGE DESIGN ENGINEER** Correspondence, plans, memoranda, and reports relating to bridge designs. A. Policy and Program Records B. Administrative Support Records		A. Please use the General Retention Schedule GAR-001 B. Please use the General Retention Schedule GAR-002 23 CFR 650	**2007** **1/5/2015**
BD-002	**BRIDGE DESIGN AND MANAGEMENT CONTRACTS AND AGREEMENTS** Include related correspondence, plans and consultant information. **NOTE: Documents are maintained in electronic format within Database and is to be transferred to DPA on Gold CD's in an approved format.**		Retain at agency 1 year after completion of successful final audit if state funded. Retain at agency 3 years and completion of successful final audit if federally funded; transfer to Delaware Public Archives for permanent preservation. 23 CFR 650	**2007** **1/5/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
BD-003	**BRIDGE INSPECTION FILES** Includes related correspondence, inspection reports and memoranda **NOTE: Documents are maintained in electronic format within Database and is to be transferred to DPA on Gold CD's in an approved format.**		Retain copy in office permanently; transfer originals to Delaware Public Archives for permanent preservation. 23 CFR 650.311	**2007** **1/5/2015**
DS-001	**SUBJECT FILES-DESIGN SERVICES** Correspondence, plans, memoranda, and reports relating to project designs. A. Policy and Program Records B. Administrative Support Records		A. Please use the General Retention Schedule GAR-001 B. Please use the General Retention Schedule GAR-002	**2007** **1/5/2015**
ESM-001	**SUBJECT FILES-ENVIRONMENTAL STUDIES MANAGER** Correspondence, plans, memoranda, and reports relating to project designs. A. Policy and Program Records B. Administrative Support Records		A. Please use the General Retention Schedule GAR-001 B. Please use the General Retention Schedule GAR-002	**2007** **1/5/2015**
HOD-001 (HOD-002)	**DIRECTOR'S AND ASSISTANT DIRECTOR'S CORRESPONDENCE FILES** A. Policy and Program Records B. Administrative Support Record C. Personnel Records, Sub-Departmental	**CONF**	A. Please use the General Retention Schedule GAR-001 B. Please use the General Retention Schedule GAR-002 C. Please use the General Retention Schedule GPR-006	**2007** **1/5/2015**
HOD-004	**SECTION FILES** A. Activity reports and correspondence from or relating to organizational units of Highway Operations Division B. Personnel Records, Sub-Departmental	**CONF**	A. Please use the General Retention Schedule GAR-002 B. Please use the General Retention Schedule GPR-006	**2007** **1/5/2015**
HOD-005	**LEGISLATIVE FILES** Correspondence and memoranda relating to appropriations and authorizations		Please use the General Retention Schedule GAR-002	**2007** **1/5/2015**
HOD-006	**EXTERNAL CORRESPONDENCE**		Please use the General Retention Schedule GAR-002	**2007** **1/5/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HOEC-001 COMBINED HOEC-002 HOEC-003 HOEC-004 HOEC-005 HOEC-006 HOEC-007 HOEC-008 HOFS-004	**CONTRACT FILES – CONSTRUCTION/EXPRESSWAYS** **A. Design/Revisions and Material records -Permanent Records** Files may contain shop Drawings, Field notes documenting field changes, Project correspondence relating to design changes, Structural reports, Result of soil analysis and other material testing, Material source technical data, Utility As-built, Stormwater Management reports, design, computations studies, Diary and Photographs **B. Administrative Files temporary records** Files may contain Estimates, Change orders, Quantity books, Source Documents, ES2M reports, Safety reports, Permits, Contract and payment vouchers, Meeting minutes, General correspondence, Traffic impact studies, Environmental impact statements, CPM schedule (updates, revisions), Contract specs, Contractor payrolls (29 CFR 1470.42) , Weight tickets, Pavement tickets, Weight tickets, Miscellaneous tickets, Consultant agreements (These are the agreements between DOT and the consultant of a project), emails and other documents that are not listed in part of this series		A. Retain files at agency 1 year after completion of successful final audit if state funded; retain at agency 3 years after successful final audit if federally funded. Transfer to Delaware Public Archives for permanent preservation. **B.** Retain files at agency 1 year after completion of successful final audit if state funded; retain at agency 3 years after successful final audit if federally funded; destroy **NOTE:** Once the project is complete, the boxes are transferred to the DelDOT Records Center until the audit is complete. GER-015 Electronic Mail, Electronic Mail Policy	**2007** **1/5/2015**
HOEC-002	**PHOTOGRAPHS**		COMBINED INTO HOEC-001	**2007** **1/5/2015**
HOEC-003	**CPM SCHEDULE**		COMBINED INTO HOEC-001	**2007** **1/5/2015**
HOEC-004	**CONTRACTOR PAYROLL RECORDS**		COMBINED INTO HOEC-001	**2007** **1/5/2015**
HOEC-005	**WEIGHT TICKETS**		COMBINED INTO HOEC-001	**2007** **1/5/2015**
HOEC-006	**PAVEMENT TICKETS**		COMBINED INTO HOEC-001	**2007** **1/5/2015**
HOEC-007	**MISCELLANEOUS TICKETS**		COMBINED INTO HOEC-001	**2007** **1/5/2015**
HOEC-008	**CONSULTANT AGREEMENTS**		COMBINED INTO HOEC-001 **NOTE:** Original is maintained with the Administrative Office	**1/5/2015**
HOFS-004	**STORM WATER MANAGEMENT REPORTS**		COMBINED INTO HOEC-001	**2007** **1/5/2015**
HOFS-008	**PROJECT FILES**		DUPLICATED DELETE	**2007** **1/5/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HOS-001	**TRAFFIC CONTROL TRAINING MATERIALS-SAFETY** Slides, overheads, scripts, notes and equipment used in training		Cut off/review annually. Retain current materials only; destroy.	**2007** **1/5/2015**
HOS-002	**CONSTRUCTION PROJECT FILES**		DUPLICATED DELETE	**2007** **1/5/2015**
HOS-003	**SAFETY INSPECTION REPORTS** Office copy of report in project files.		Retain in office 1 year after final report; destroy.	**2007** **1/5/2015**
HOS-004	**SHOP INSPECTION REPORTS**		Retain in office 5 years; destroy	**2007** **1/5/2015**
HOS-005	**RIGHT TO KNOW PROGRAM** Attendance sheet for program to train DelDOT employees in the handling of hazardous materials Certifies that they received training performed on an annual basis	**VITAL**	Retain at agency 5 years; transfer to DelDOT Records Center for 25 years; destroy 16 Del Code 24-30 YEARS 29 CFR 1910.1200	**2007** **1/5/2015**
HOS-006	**MATERIAL SAFETY DATA SHEETS** Information and warning sheets supplied by manufacturers of hazardous materials		Retain at agency 5 years; transfer to DelDOT Records Center for 25 years; destroy 16 Del Code 24– 30 YEARS 29 CFR 1910.1200	**2007** **1/5/2015**
HOS-007	**DEFENSIVE DRIVING TRAINING SHEETS** Attendance sheets for defensive driving training sessions.		Retain in office 5 years; destroy.	**2007** **1/5/2015**
HOS-008	**FLAGGER TRAINING PROGRAM** Attendance sheets for flagger training program.		Retain in office 5 years; destroy.	**2007** **1/5/2015**
HOS-009	**CHEMICAL INFORMATION LISTS (CIL)** Lists containing names of hazardous chemicals normally used or stored in the workplace in excess of 55 gallons or 500 pounds.		Retain at agency 5 years; transfer to DelDOT Records Center for 25 years; destroy 16 Del Code 24– 30 YEARS 29 CFR 1910.1200	**2007** **1/5/2015**
HOTE-001	**MONTHLY WORK PROGRESS REPORTS-SUPPORT SERVICES ADMINISTRATOR**		Retain in office 2 years; destroy.	**2007** **1/5/2015**
HOTE-002	**CONSOLIDATED TRAFFIC MONTHLY REPORT** Consolidated reports of all activities of all units		Retain in office 2 years; transfer to DRC 2 years; destroy.	**2007** **1/5/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
HOTE-003	**HIGHWAY LOCATION FILES** Includes road, intersection, municipality, development and contract files, correspondence and petitions from legislators and the public regarding work requested and work performed, documentation on work relating to signs, signals, pavement marking, traffic control devices, and speed limits. Includes maps, photographs and accident information.	**VITAL**	Cut off every 5 years; purge of routine correspondence and requests for information. Transfer to Delaware Public Archives for permanent preservation.	**2007** **1/5/2015**
HOTE-004	**SIGNAL AGREEMENTS** Copies of agreements relating to traffic signal installation and maintenance agreements, and to contracts with developers regarding signal erection and outlining responsibilities of DelDOT and developers	**VITAL**	Retain in office until completion of project; transfer to Delaware Public Archives for permanent preservation.	**2007** **1/5/2015**
HOTE-005	**TOWN AGREEMENTS** Material similar to that regarding signal agreements Also includes material regarding street maintenance and markings, resolutions issued by Secretary of DelDOT regarding speed limits, bridges, control devices (pavement), the dates authorized and maps.	**VITAL**	Retain in office until completion of project; transfer to Delaware Public Archives for permanent preservation.	**2007** **1/5/2015**
HOTE-006 **Eng. Support**	**VEHICLE AND EQUIPMENT LISTS** Heavy equipment lists. Record copy Administration Support Services		Retain in office 5 years; destroy.	**2007** **1/5/2015**
GPR-006 **(HOTE-007)**	**PAYROLL FILES**	DELETE	Record copies in human resource files	**2007** **1/5/2015**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MR-001	**SUBJECT FILES - MATERIALS & RESEARCH ENGINEER** Files may contain source letters, worksheets from inspectors, weekly reports, test reports, profiling reports, specification books, shop drawings, soil reports, field control reports, IA hot mix reports, general correspondence, memo's and emails		Retain in office until audit is completed for 1 year after completion of successful audit if state funded or 3 years after completion of successful audit if federally funded; transfer to Delaware Public Archives for permanent preservation	**2007** **1/5/2015**
RE-002 **Moved From Planning**	**REAL ESTATE PROJECT FILES** Consists of acquisition files, relocation assistance files, property management files, legal files, demolition files, asbestos abatement files, right of way certificates and project administration files **Acquisition Files** Contain acquisition documents and appraisal, easements, correspondence, offer letters, settlement documentation and condemnation documentation. **Relocation Assistance Files** Contains required relocation assistance notifications, correspondence, displaced person claims and supporting financial documentation. **Property Management File** Contain information concerning inventory of excess parcels, leases, obtaining a contractor to demolish building or remove asbestos, contracts and notices to proceed, correspondence, contractual documentation, financial documentation and disposition of property. **Legal Files** Contain condemnation file generated at the attorney's office and copies of court documents. **Demolition Files** Correspondence with contractor performing demolition, assignment to contractor, test reports, inspection reports and final acceptance **Asbestos Abatement Program Files** Correspondence with contractor performing asbestos tests and removals, assignment to contractor, test reports, inspection reports, final acceptance, asbestos disposal form/waste shipment record and certificate of pick-up from Delaware Solid Waste Authority		Retain at agency 3 year after completion of project; Transfer to Delaware Public Archives for permanent preservation. **NOTE: The original deeds should be kept in project files. GAR-028** 49 CFR 24.9 23USC 23 CFR 710.203	**5/11/2011**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
RE-002 (CONT) **Moved From Planning**	**Right Of Way Certificates** Certifications that all necessary ROW has been acquired and remaining structures are cleared of asbestos and available for demolition. Record copies are in project parcel files. **Project Administration Files** Documents the project, as a whole and not parcel specific Consists of general correspondence between property owners and state personnel, ROW estimates, reports, relocation surveys and plans, status reports, relocation surveys and plans, status reports on tasks, ROW certificates, record copy of internal memoranda and notices to proceed		Retain at agency 3 year after completion of project; Transfer to Delaware Public Archives for permanent preservation. **NOTE: The original deeds should be kept in project files.** 49 CFR 24.9 23 CFR 710.203 23USC	**5/11/2011**
RE-005 **Moved From Planning**	**LEASES** Correspondence, lease and notification of nonrenewal		Retain at agency 3 years after expiration of agreement; destroy	**5/11/2011**
RE-006 **Moved From Planning**	**AIRSPACE AGREEMENTS** Agreements for use of property within the ROW of highway		Retain at agency 3 years after expiration of agreement; destroy 2 DE Code Chapter 3 2 De Code Chapter 9 Subchapter I	**5/11/2011**
RE-007 **Moved From Planning**	**USE/CUSTODY AGREEMENTS** Agreements for use of property, which may not involve payment of financial compensation		Retain at agency 3 years after expiration of agreement; destroy	**5/11/2011**
SEC-010 (SEC-013)	**CHIEF AND ASSISTANT CHIEF ENGINEER'S GENERAL FILES** A. Policy and Program Records B. Administrative Support Records C. Transitory Correspondence D. Reports and Other Project Documents E. Contracts, Agreements and Leases F. Professional Services Contracts		A. Please use the General Retention Schedule GAR-001 B. Please use the General Retention Schedule GAR-002 C. Please use the General Retention Schedule GAR-003 D. Please use the General Retention Schedule GAR-001 E. Please use the General Retention Schedule GAF-026 F. Please use the General Retention Schedule GAF-030	**2007**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
SEC-011	**CHIEF ENGINEER'S BLUE COPIES** Chronological file of outgoing correspondence		Retain current year plus 2 years at agency; successful audit; destroy.	**2007**
SEC-012	**APPLICATIONS FOR COMPRESSED WORK WEEK**		Retain current year plus 1 year at agency; destroy.	
SSA-001	**SUBJECT FILES-SUPPORT SERVICES ADMINISTRATOR** Correspondence, plans, memoranda, and reports relating to project designs. A. Policy and Program Records B. Administrative Support Records		A. Please use the General Retention Schedule GAR-001 B. Please use the General Retention Schedule GAR-002	**SSA-001**
SU-001 DOTS & Planning	**SUBDIVISION PROJECT FILES** Agreements, correspondence, memoranda, reports and plans on individual projects including information such as drawings, site layout, right-of-way and traffic. Agreements, correspondence, memoranda, reports, plans, drawings and site layout		Retain in office for 2 years; transfer to Delaware Public Archives for permanent preservation	**2007**
SU-002 DOTS & Planning	**UTILITY PROJECT FILES** A. Agreements, correspondence, memoranda, reports, plans, legal documents, financial reports on public utility facilities using state rights-of-way B. Construction documents for all capital improvement projects and minor capital improvement projects C. Professional services contracts		A. Retain in office; successful audit; retire to DRC 5 years; destroy. 23CFR 645.117(i)(3) B. Please use the General Retention Schedule GAF-026 C. Please use the General Retention Schedule GAF-030	**2007**
MFT-013	**HAULING PERMITS AND BLOCK HAULING PERMITS** Copies of permits issued for oversize and overweight vehicles. Contains name, address, equipment data, length, width and height, with route used, license information and validity number. Permits are usually valid for several days no longer than one month. Information is maintained in electronic format.		Retain through current quarter; remove from computer; destroy.	**12/2009**

SERIES #	SERIES TITLE AND DESCRIPTION	CONFIDENTIAL /VITAL	RETENTION INSTRUCTIONS	DATE APPROVED / REVISED
MFT-014	**DAILY AND MONTHLY DEPOSIT RECORDS** Daily revenue reports collected from systems and compiled for monthly press release. Contain background for accountant. Daily and monthly reports are filed together. a. Hauling Permits		Input to web-based database. Verify information and destroy paper records. Maintain records on database 4 years; successful audit; remove from system.	**12/2009**

Agency Notes:

1. Delaware Code
   a. 29 DE Code 5 State Government-State Archives and Historical Objects- Public Records
   b. 29 DE Code 100 State Government – General Regulations for State Agencies – Freedom of Information Act
   c. 6 DE Code 12A Commerce and Trade – Other Laws Relating to Commerce and Trade – Uniform Electronic Transactions Act
   d. 2 DE Code Chapter 3 Uniform State Aeronautics Law
   e. 2 De Code Chapter 9 Subchapter I Transportation - Airports of Political Subdivisions-Establishment and Administration
   f. 16 Del Code 24 Health and Safety-Hazardous Chemical Information
2. Delaware Administrative Code
   a.
3. Federal Codes
   a. 23CFR 645.117(i)(3) Highways–Federal Highway Administration, Department of Transportation-Engineering and Traffic Operations- Utilities-Cost development and reimbursement
   b. 23 CFR 710.203 Highways–Federal Highway Administration, Department of Transportation-Right-Of-Way and Environment-Funding and reimbursement
   c. 49 CFR 24.9 Transportation-Office of the Secretary of Transportation-Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-Assisted Programs-Recordkeeping and reports
   d. 23USC Highways
   e. 29 CFR 1470.42 Labor-Federal Mediation and Conciliation Service-Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments-Retention and access requirements for records
   f. 29 CFR 1910.1200 Labor-Occupational Safety and Health Standards-Hazard communication
   g. 23 CFR 650.311 Highways–Federal Highway Administration, Department of Transportation-Engineering and Traffic Operations – Bridges, Structures and Hydraulics-Inspection frequency
   h. 23 CFR 650 Highways–Federal Highway Administration, Department of Transportation-Engineering and Traffic Operations-Bridges, Structures and Hydraulics
4. The destruction of Electronic Records requires an authorized Destruction Notice from the DPA Please refer to DPA policy
5. If data system replaces hard copy, the records have differing retention periods, and agency software does not readily permit selective deletion, then delete records after the longest retention period has expired.
6. Contingency backup records should be maintained apart from the master file or data system in a secure offsite facility.
7. 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
8. "Electronic record" means a record created, generated, sent, communicated, received or stored by electronic means.

See also Model Guidelines for Electronic Records on DPA's website for additional guidance concerning the maintenance, and disposition of electronic records.

Notes: Retention Schedule Modification History

Series	**Title and Explanation and action taken**	**Retention**	**Date of change**
	Updates to series with combining and deleting some, was approved by the Director and DAG		1/5/2015
	MOVED FROM MOTOR VEHICLE –MOTOR FULE TAX SECTION		
MFT-013	HAULING PERMITS AND BLOCK HAULING PERMITS		
MFT-014	DAILY AND MONTHLY DEPOSIT RECORDS		

E. BENEFITS OF RECORDS MANAGEMENT

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

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

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

E. AUDITS AND STATUTORY REQUIREMENTS

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

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

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

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

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

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

F. Helpful Hints for Records Management

The Retention Schedule contains the listing of records series used by the Department of Transportation. As noted in the introduction, the instruction provided within this schedule reflects the minimum length of time a record series shall be retained by the agency, the DPA, or in certain cases by both. Records Officers and Authorized Agents should contact their DPA Information Resources Specialist regarding any questions concerning records created or maintained by their agency. The following suggestions will be helpful when using this publication:

1. To be successful at records management, the General and Agency Specific Retention Schedules will become the most referenced document in your agency's program. Their purpose is to provide instruction on the how long to retain records and the statuary or business practice requirements.

2. Become familiar with the General Records Retention Schedule and the Agency Specific Records Retention Schedule. The General Records Retention Schedule is divided into sections according to the category of record, (e.g., accounting and financial, administrative, electronic, and personnel).

3. Review the State General Records Retention Schedule and Locate all records used by your agency. If a record cannot be located within a record series in the General Records Retention Schedule or the agency's records retention schedule, contact the Information Resources Specialist so that the record may be analyzed and added to the agency's schedule.

4. Identify the records that have met their recommended retention period. Insure that all audit requirements have been met and litigation proceedings finalized prior to destruction (see Audit/Legal/Statutory Requirements).

5. Do not destroy any records until you receive a copy of the Destruction Notice that is signed by the State Archivist, authorizing the destruction. Agencies will receive an official notification of all approvals or denials.

6. List records eligible for destruction on a Destruction Notice Record titles should be worded exactly the same as listed on the retention schedule. The Destruction Notice must be authorized/signed by the records officer, authorized agent or agency head. This authorization certifies that all the records listed, have met all state and federal audits requirements, all audit reports have been accepted, and all issues resolved. Furthermore, that no legal actions are pending to which the records may pertain. In addition, it certifies that all images generated from the records have been verified for completeness and accuracy. The Destruction Notice must be emailed to the DPA. For more information, please refer to the DPA publication: User's Guide for Destruction

7. Make a Content List (inventory) of all the records that are eligible for transfer to the State Records Center for storage, or the State Archives for permanent preservation. Review the records using the appropriate Retention Schedule and then complete a Content List (this is a Microsoft Excel Spreadsheet that is created by the Government Service section of DPA) and the Transfer Document. Email the Transfer Document and the Content List (Excel spreadsheet) to the agency's DPA analyst or the Analyst Team mailbox (AnalystTeam@state.us.de) to coordinate arrangements for the transfer of records. For more information, please refer to the following DPA publications for further information regarding the transfer of records: Preparation of Records for Transfer to DPA, User' Guide to Storage and Use of Archives Boxes, and User's Guide for Transfer.

I. GLOSSARY OF RECORDS MANAGEMENT TERMS

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

ACCESSION
(v.) To transfer physical and legal custody of documentary materials to an archival institution
(n.) Materials transferred to an archival institution in a single accessioning action

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

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

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

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

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

ARCHIVES
1. The records created or received and accumulated by a person or organization in the course of the conduct of affairs, and preserved because of their historical or continuing value
2. The agency responsible for selecting, preserving, and making available records determined to have permanent or continuing value.
3. The building in which an archival repository is located. See also DELAWARE PUBLIC ARCHIVES.

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

COMPUTER OUTPUT MICROFILM (COM) See Micrographics

CONFIDENTIAL RECORDS

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

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

CONVENIENCE COPY / READING FILE:
Unofficial files; duplicates of any documents or publications kept solely for ease of reference

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

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

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

DELAWARE PUBLIC ARCHIVES
The Delaware Public Archives is hereby constituted the central depository for the reports, publications, rules and regulations of the government of this State and all political subdivisions thereof. Title 29 Delaware Code § 519.

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

DISPOSITION
The final action that puts into effect the results of an appraisal decision for a series of records E.g. 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. NOTE: The content of a record, not the medium, determines whether a record constitutes a public record.

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

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

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

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

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

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

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

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

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

MICROFILM
Reduced scale, photographic record of documentary materials

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

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

OPTICAL CHARACTER RECOGNITION (OCR)
Process used to capture, recognize, and translate printed alphanumeric characters into machine readable and searchable text.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

H. NON-RECORD MATERIAL

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

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

Non-record materials may include:

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

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

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

J. RECORDS MANAGEMENT ON-LINE RESOURCES

Access To Records	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Information Resource Specialist (Analyst) Assignments	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Appointment of Records Officers and Authorized Agents	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Common Rule for Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments (OMB Circular A-102) **Audits of States, Local Governments, and Non-Profit Organizations (OMB Circular A-133)**	http://www.whitehouse.gov/omb/circulars_index-slg/
Delaware Documentation Procedures	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Delaware Statutes • **Freedom of Information Act** • **Public Records Law** • **Uniform Electronic Transactions Act**	http://delcode.delaware.gov/title29/c100/index.shtml http://delcode.delaware.gov/title29/c005/sc01/index.shtml http://delcode.delaware.gov/title6/c012a/index.shtml
Delaware Public Archives Forms	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Destruction • **Items Prohibited in Destruction Boxes** • **Records Transfer and Destruction Boxes**	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Electronic Records • **Model Guidelines for Electronic Records** • **Suitable Media and Formats for Submitting eRecords** • **Electronic Mail** • **Guidelines for Maintaining and Preserving Records of Web-based Activities**	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Guidelines for Utilizing Paper and Computer Output Conversion Services	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Records Retention / Disposition Projects **Cubic Foot Conversion Chart**	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Transfers • **Preparation of Records for Transfer to DPA** • **Guidelines for Utilizing Records Storage Facilities**	http://archives.delaware.gov/govsvcs/govsvcs.shtml
Users Guides For: • **Appointment Orders** • **Destruction** • **Imaging Support** • **Record Series Inventory**	http://archives.delaware.gov/govsvcs/govsvcs.shtml

• **Record Service Requests** • **Transfers**	
Vital Records Management	**http://archives.delaware.gov/govsvcs/govsvcs.shtml**