

# RECORDS MANAGEMENT HANDBOOK

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PREPARATION AND TRANSFER OF TEMPORARY RECORDS



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## **INTRODUCTION**

The Delaware Public Archives (Archives) is the official repository for the archival records of this State and its political subdivisions. As such, the Archives recognizes that in order for the Records Officers and Authorized Agents to be successful in administering their agency's records management program, they may need some guidance in preparing all the necessary documents required to transfer their agency's records for temporary storage. The goal of this handbook is to provide instruction to the Records Officers and Authorized Agents so that they may properly prepare their records for storage.

## **RECORDS OFFICERS AND AUTHORIZED AGENTS**

The Delaware Public Records law, [29 Del. C. § 521](#), requires that each agency and political subdivision designate at least one records officer to serve as the liaison with the Archives for the purpose of implementing and overseeing a records management program and coordinating the legal disposition, including the destruction of obsolete records. The designations are made each year, on July 1<sup>st</sup>, by completing and submitting the Records Officer and Authorized Agent Form to the Archives. This form is available on our website, [www.archives.delaware.gov](http://www.archives.delaware.gov). In the event that an agency has a modification (addition or deletion) with the appointed designees, please notify Archives, as soon as possible, to ensure only authorized personnel are granted access to an agency's records.

The appointed records officers and authorized agents perform a number of important records management functions and careful consideration must be made when making these appointments. These designees must have the time and ability to:

- Serve as the primary points of contact with the Archives and submit requests for the destruction, retrieval, and transfer of records.
- Oversee agency records management programs including training others in the agency to follow the established records management guidelines.
- Work with the Archives to develop and revise record retention schedules.
- Document the authorization of destruction and transfer of records to the Archives.
- Maintain the information on records that have been transferred to allow for their efficient retrieval.

## WEBSITE NAVIGATION

This manual and other useful record management items are located on our website:  
[www.archives.delaware.gov](http://www.archives.delaware.gov)

The screenshot shows the top navigation bar with links: WORLD WAR II, DIGITAL ARCHIVES, RESEARCH, STUDENT RECORDS, FAQ, HOURS, CONTACT US. Below the navigation bar are four main content sections:

- Upcoming Events**: Lists events for October 4 and October 11, 2014, with links to more information.
- In the News**: Features news items from August 19, 2014, and July 31, 2014, regarding research room closures and a World War I guide.
- Digital Archives**: Promotes online collections of documents, photographs, and audio clips.
- Research Room**: Provides information about the Mabel Lloyd Ridgely Research Room's hours and location.
- Public Finding Aids**: Lists various historical records available for research.
- Government Services**: Describes the department's role in administering public records law.

A red arrow points from the **Government Services** section to the text below.

Select [\*\*GOVERNMENT SERVICES\*\*](#) from this page and you will be able to access links to:

- **Announcements**
- **Agency Assignments**
- **Education and Training**
- **Local Government Directory**
- **Manuals**
- **Records Management Forms**
- **Records Management Policies and Procedures**
- **Retention Schedules**
- **Tips and Tools**

## Selecting and Ordering Boxes

Temporary records are required to be transferred to the Archives in 1 cubic foot (15”x12”x10”), double-walled, brown boxes. The boxes may be used to transfer both letter and legal sized documents. The boxes must be ordered from the State of Delaware vendor. The minimum order to receive contracted pricing is 50 boxes.

The current vendor is the Paige Company and their contact information is:

Point of Contact: Peter Brown  
Phone: 1-800-223-1901, ext. 116  
Email: [Pbrown@paigecompany.com](mailto:Pbrown@paigecompany.com)  
Website: [www.paigecompany.com](http://www.paigecompany.com)  
Contract Number: [GSS17458A-STORAGEBOX](#)

## Preparing Records for Transfer

Remove the following items from the records prior to placing them into the storage boxes.

- Notebooks and spiral binders (plastic and metal)
- Binder clips
- Hanging file folders
- Plastic document protectors
- Computer printout binders
- Hard-back books
- Rubber bands (rubber bands turn to glue and also tear documents and folders)
- Audio or videotapes, CDs and DVDs, and microfilm or microfiche (these mediums are transferred separately)
- Newspapers and newspaper articles, clippings, etc., which contain a high level of acidity, must be photocopied for preservation purposes. The photocopy must capture the names of the newspaper, the article, the author, and the date. Please be sure to remove the original clipping and replace it with the photocopy.

## Completing the Transfer Document and Content List

- A. Place the records in the box using the following methods.
  1. Only one records series may be included in the boxes for each Transfer Document. Do not mix different record series in the same box.
  2. All boxes must contain lids, intact handles and be in good structural condition.
  3. The records/folders must be in sequential order: Alphabetical, Numerical, Alphanumeric, etc. For records arranged chronologically, the earliest date should be in the front of the box. If records are arranged alphabetically, place “A” in the front of the box.
  4. All records must be in an upright file so that the labels are facing the front of the box.
  5. Labels must be legible, visible and secured to the top of the file folder.
  6. To prevent damage to the records, do not over-pack or under-pack boxes. Leave approximately two inches of space in the front or rear of the box.
  7. Strictly monitor and/or restrict access to the boxes once they have been prepared for transfer. If records are removed, use out-cards as place holders.

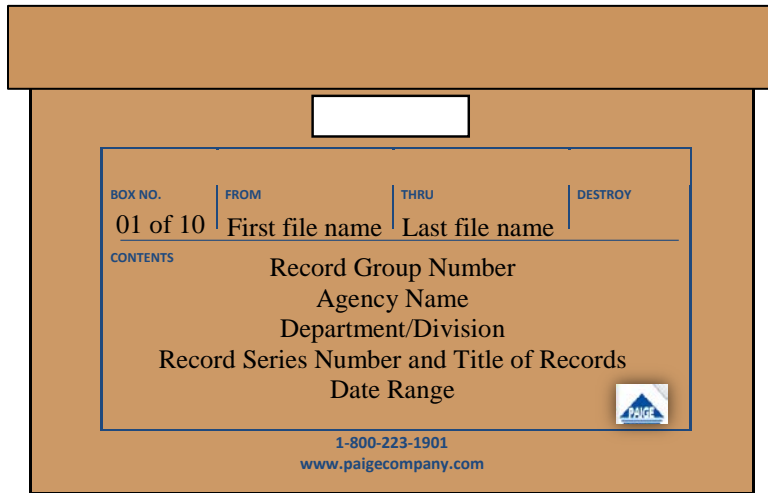
- B. To ensure the accuracy of all records, the agency must review and verify that the records in the box are in proper sequential order and coincide with the records listed on the content list. The Archives will not be able to fulfill record requests if records are not included on the content list, properly labeled or placed out of order.
- C. The content list is a detailed Microsoft Excel spreadsheet that lists each record being transferred in sequential order. This list will serve as the finding aid to locate the files. All content list templates are created by the Archives and must contain a minimum of 2 to 3 identifiers. The content list must remain as a single workbook with only one tab. Please do not modify the spreadsheet or use any abbreviations, acronyms, all-caps, colors, different fonts, tables or special characters. Contact the Records Analyst assigned to assist your agency to obtain the templates. The Archives does not accept handwritten, faxed or scanned content lists.

RG	RC_Series	Begin Year	End Year	Dept_Org	Division	Office	Series_Name	LastName	FirstName	Middle Name	Suffix	DOB	Disposition Date	Box_Num	Barcode	TD_Num	Comments
1325	GPR-020	1998	2012	State		Human Resources	Employee Medical Records	Berry	Charles	Edward		10/18/1926	01/2063	Box 1 of 5	NYNX12345	A-0119	
1325	GPR-020	2006	2012	State		Human Resources	Employee Medical Records	Dylan	Bob			5/24/1941	01/2063	Box 1 of 5	NYNX12345	A-0120	
1325	GPR-020	1999	2012	State		Human Resources	Employee Medical Records	Hendrix	James	M.		11/27/1942	01/2063	Box 1 of 5	NYNX12345	A-0121	
1325	GPR-020	1983	2012	State		Human Resources	Employee Medical Records	Gabriel	Peter	Brian		2/13/1950	01/2063	Box 1 of 5	NYNX12345	A-0122	

- D. Agencies will prepare a [Transfer Document](#) for all records being transferred to the Archives for temporary storage. The originating agency will prepare the Transfer Document in Microsoft Word format in accordance with the [User's Guide for Transfer Form](#), which is located on the Archives website. When entering the information, do not use abbreviations, hyphens to separate names or special characters to separate the beginning and ending files.

## Labeling the Brown, Double Walled Boxes

- A. **Use a black marker** to write the information on the front of the boxes. ***Do not use acid-free boxes*** to transfer records for temporary storage, as they are too expensive for this task. Place the lid on the box prior to labeling to ensure all writing is visible. Please do not use abbreviations or write on the lids or any other surface of the boxes. Do not attach anything (labels, paper, stickers, tape, etc.) to the surface or lids of the boxes.
- B. On the front of the box (directly under the handle), **handwrite** the information below:
1. Box No.: Agency Box Number (e.g. 01 of 10, 02 of 10, 03 of 10, etc.)
  2. From: List the name of the first record in the box
  3. Thru: List the name of the last record in the box
  4. Destroy: This field lists the disposition date of the record; however, it may be left blank
  5. Record Group Number: List the record group number assigned to your agency
  6. Agency Name: List the name of your agency
  7. Department/Division/Section: List the department, division, and or section of your agency
  8. Record Series Number and Title: List the records series number and title. This information can be found in the retention schedule. The record series title must correspond with the title listed in the retention schedule.
  9. Date Range of Records: List the earliest date and the latest date of the records for each box (e.g. 2001 – 2004).



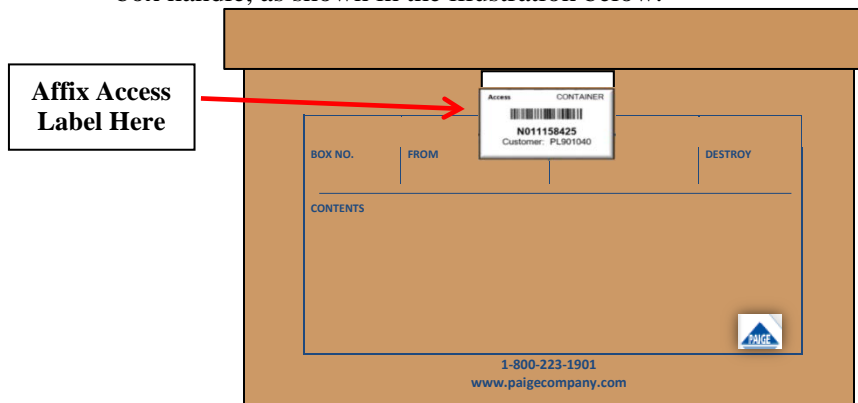
## Submitting the Transfer Document and Content List to the Archives

Record's Officers and Authorized Agents, as designated by the agency, will email the Transfer Document(s) and the content list together, in their original format, to their assigned Records Analyst. Once the documents are reviewed and approved, Archives staff will email a copy of the content list with the assigned storage facility barcode numbers. In addition, the agency will receive barcode labels and/or transmittal forms for boxes that are being transferred to an offsite storage facility. Instructions regarding the placement of the barcode labels and/or transmittal forms will be provided to the agency. Upon receipt of this information, the agency is required to print the content list, which will be formatted with page breaks that separate each box. Once the content list, barcode labels, and/or transmittal forms have been placed in or on the boxes, please email the Archives staff member included with the instructions to schedule a pick up date.

## Offsite Storage Barcodes and Forms

### A. Records stored at Access.

1. Once the agency's transfer request has been approved, the agency will be provided with a transfer document and content list, which will include the barcode numbers assigned to each box.
2. Archives staff will deliver the Access barcode labels to the agency. It is imperative that agencies place the barcode label onto its designated box. When placing the labels onto the boxes, please follow the instructions below:
  - a) Make sure the barcode number corresponds with the number listed on the transfer document.
  - b) Once the proper barcode label has been selected, it should be placed directly under the box handle, as shown in the illustration below.



- c) Once the content list, barcode labels, and/or transmittal forms have been placed in or on the boxes, please email the Archives staff member included with the instructions to schedule a pick up date.

**B. Records stored at Iron Mountain.**

1. Once the agency's transfer request has been approved, the agency will be provided with a transfer document and content list that has been updated to include the barcode numbers assigned to each box.
2. Records being stored at the Iron Mountain facility require the completion of the Iron Mountain Transmittal Form. The Records Analyst will complete this form for each box until the agency's Record Officer is sufficiently trained to perform this task. The information required to complete this form is located on the Transfer Document and will be added to the Iron Mountain Transmittal form in the following manner:
  - a) **Customer ID:** This number will always be **"PF608"** and noted in 2 places on the form; the top left and center right side of form.
  - b) **Customer Name:** This name will always be **"Delaware Public Archives."**
  - c) **Department ID:** This is a six-digit number assigned to the agency. This number will be provided by the assigned Records Analyst.
  - d) **Alpha-Numeric Range From:** This is the file name or number of the first record in the box. This information will change from box to box and must match the Transfer Document and the content list (e.g. if the files are in alpha order and the first file in the box is Abbot, Amy and the last file is Cox, Fred, you would enter Abbott, Amy in this field; if the files are in numerical order and the first file in the box is 010100001 and the last file is 02120087, you would enter 010100001).
  - e) **Alpha-Numeric Range To:** This is the file name or number of last record in the box. This information will change from box to box and must match the Transfer Document and the content list (e.g. if the files are in alpha order and the first file in the box is Abbot, Amy and the last file is Cox, Fred, you would enter Cox, Fred in this field; if the files are in numerical order and the first file in the box is 010100001 and the last file is 02120087, you would enter 02120087).
  - f) **Major Description:** List the record series title in the field (e.g. if your agency is transferring Personnel Files, agencies should list the information in this field as Personnel Files, Departmental). Please note that the Record Title should reflect the title that is listed in the records retention schedule and on the Transfer Document.

The image shows an Iron Mountain Transmittal Form with the following handwritten entries:

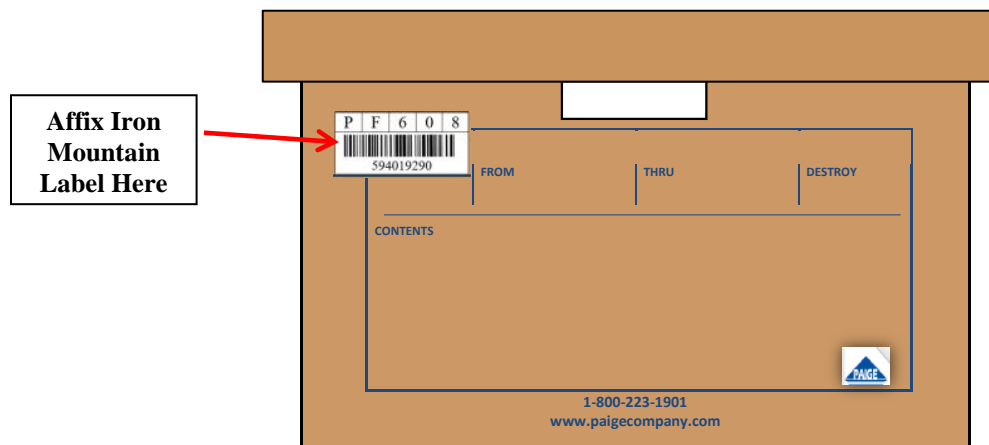
- CUSTOMER ID:** PF608 (top left and center right)
- CUSTOMER NAME:** Delaware Public Archives
- DIVISION ID:** 123456
- SKP BOX NUMBER:** 781425571
- Department ID:** [Blank]
- Record Code:** [Blank]
- Alpha-Numeric Range-FROM:** Abbott, Amy
- Alpha-Numeric Range-TO:** Cox, Fred
- Event Date:** [Blank]
- Reference #1:** [Blank]
- Major Description:** Personnel Files, Departmental 2007
- Minor Description:** [Blank]
- Preparer's Full Name:** [Blank]
- DATE:** [Blank]
- DIVISION ID:** [Blank]
- DEPARTMENT ID:** [Blank]
- TELEPHONE NO. AND EXTENSION:** [Blank]
- FLOOR:** [Blank]

Barcode labels are present with the SKP BOX NUMBER 781425571. A 'Hold Code' field is also visible.

3. After the Iron Mountain Transmittal Form is completed, the agency Records Officer will:



- a) Remove the barcode label from the **White** copy of the transmittal form and affix it to its corresponding box. Please note that it is essential that the label be placed on the box indicated on the Transfer Document. This information will be used to locate files in the future. The barcode labels should be placed on the boxes as illustrated below:



- b) Detach the **Pink** copy of the Iron Mountain Transmittal Form and place it in the box with the corresponding barcode label with the content list.
- c) Detach the **Yellow** copy of the Iron Mountain Transmittal Form and retain it with the agency copy of the Transfer Document as the receipt for the boxes.
- d) Provide the **White** copy of the Iron Mountain Transmittal Form to the Iron Mountain driver when the boxes are retrieved.

## Access and Ownership

All records held at the State Records Center are the property of the originating agency and are only available to that agency. During this time, the agency is responsible for responding to all requests for information including customer requests, Freedom of Information (FOIA) requests, subpoenas, etc. Once records are transferred to the Archives for permanent preservation, the records become the property of the Archives and will not be returned to the agency. However, the agency may request a copy or certified copy of the records.

## Requesting Records

To request records, agencies must complete the [Records Service Form](#) in Microsoft Word format, as provided on the website. When completing this form, it is imperative that agencies include the storage facility barcode number, name of storage facility, agency box number, records series number, date of records, record title and description. This information may be found on the agency's master content list. All Record Service forms are submitted via email to Ready Records ([rrecords@state.de.us](mailto:rrecords@state.de.us)). In addition, if an agency is requesting a record that will not be returning to the State Records Center, please indicate this on the Record Service Form at the time of the request.

Deliveries to New Castle County are completed each Tuesday, while Kent and Sussex County are completed each Thursday. This schedule may vary due to inclement weather, holidays, emergencies, etc. Agencies may choose to pick-up their records; however, they must inform Ready Records staff in advance. Records may only be picked up by the requesting Records Officer, Authorized Agent or their designee. Individuals picking up the records are required to present a valid State of Delaware driver's license or State Identification Badge for identification purposes.

## **Returning Records to the Archives**

**Under no circumstances should records be placed in State mail or any other mail service.** Once the agency is ready to return their record(s) or box to the Archives, they will send an email to Ready Records ([rrecords@state.de.us](mailto:rrecords@state.de.us)). Please include the following:

1. Point of contact
2. Record group number and agency name
3. Physical address
4. Storage facility box number (barcode)
5. Record series number and record title

Upon receipt of your email, an Archives courier will pick-up the records and/or boxes on the next scheduled delivery date.

## **Disposition of Temporary Records Stored at the State Records Center**

Once records at the State Records Center have met their required retention period, Archives staff will send the necessary Destruction Notices to the assigned Records Officer and/or Authorized Agent for their approval to destroy the records. The agency's authorization is required before the State Records Center is able to dispose of any records. This process can be delayed if justification is given for documenting the legal, audit, or program need. If the Archives is not able to obtain approval from the agency and the agency is unable to provide justification, the records may be returned to the agency.