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June 3, 2013

TO: Records Officers and Authorized Agents

FROM: Government Services

SUBJECT: User's Guide to Record Series Inventory Form

Agency Department Heads and Records Officers generate a Records Series Inventory Form when an Agency Specific Retention Schedule requires modification. Such as when an agency needs to add, change, or delete a record series due to a new state or federal law, the addition of a software program, or change in an industry wide best business practice. Delaware Public Records Law, 29 *Del C.* § 524, requires that the DPA consult with agencies to establish records retention and disposition schedules.

- I. A Records Series Inventory Form is required for each series requiring a revision or for each new series and is completed using the Following steps:
 - A. **Complete the following agency information fields.**
 1. Department: Name of the Local Government, School or State Agency
 2. Record Group. (Four-digit number issued to your agency by the DPA to track all agency specific retention schedules and record transactions)
 3. Division. (Name of the next organizational level below Department)
 4. Section. (Name of the next organizational level below Division: if needed)
 5. Contact Person. (Name of Agency Point of Contact)
 6. Email. (Email address of the Agency Contact Person)
 7. Title. (Title of Contact Person)
 8. Phone. (Phone number of the Agency Contact Person)
 9. Mailing Address. (Mailing address of agency)
 - B. **Section I: Action Requested.**

'X' the box indicating the action requested:

 1. Establish a New Record Series.
 2. Revise an Existing Record Series.
 3. Move/Combine a Records Series.
 - C. **Section II: Records Series Description.**
 1. Current Title of Record. Enter the Name of the records series that is modified, moved, or combined, in the space provided.
 2. Enter the Record Series Number of the records series that is modified, moved, or combined, in the space marked "Series Number."
 3. New Title of Record: Required when a new record series is created or when the name of the record is changed.
 4. Enter the New Series Number in the space provided. Required when a new record series is created, the name of the record is changed, or when the record is moved/combined with another Record Series."
Note: the DPA analyst will provide series numbers to the requesting agency.
 5. Are these Vital Records? Place an 'X' in the box that applies. The agency is responsible for identifying which of their records are Vital. A 'Vital Record' is defined as those records that are required to ensure agencies are able to function during an emergency or disaster and through any disaster 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.
 6. Are These Confidential Records? Place an 'X' in the box that applies. Confidential records 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. It is the agency's responsibility to identify records containing confidential information. 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.
7. Still Created* Place an 'X' in the box that applies.
 8. Date Span*. This information is only noted if the records are no longer created. Enter the date span covered by the series in the space provided.
 9. Legal Authority/Agency Citation for retention/confidential requirements. List all applicable Delaware Codes, Federal Codes (CFR), and Agency Rules that define the retention duration and confidentiality requirements.
 10. Record Description. Provide information regarding who created and used the records and for what purpose. This section identifies other agencies that may use the records, if it is identified by another name, and who maintains the "record" copy.
 11. What information is contained in the files? Provide detailed list of forms and the types of information included in the records series.
 12. Type and Location of Finding Aid: Finding aids assist the agency in inventorying, locating, and recalling the record. E.g., a phone book is a finding aid for phone numbers; the card catalog is a finding aid for library book; a database or excel spreadsheet used to track the progress or location of a record as it travels through different sections within an agency during its processing; and the Collections Gateway is a finding aid used by DPA are all examples of finding aids. Databases are often useful for finding information in important groups of records such as meeting minutes, building permit files, and birth, death, and marriage records.
 13. How are the Records Arranged or Indexed? Place an 'X' in the box(es) that applies to the filing method(s) used to maintain the files and the key filing descriptor in the space provided. An arrangement means how the records are maintained in a particular order or sequence and the key filing descriptor determines the arrangement used. E.g. Alphabetical (arrangement) by person's name or organization's name (key descriptors); Numerical by Case Number or License number; Chronological by Date of Birth, Date of Death or by Case File Date; or Fiscal Year starting 1 July (State of DE) or 1 October Federal. The School Year runs from August thru June.
 14. Value of the Records. Place an 'X' in the box that applies.
 - a) Administrative. Records used by an organization in the conduct of its daily operations.
 - b) Fiscal. Records used to document an agency's financial decisions and activities. These records are critical in supporting the agency while undergoing audits.
 - c) Historical. Records that may become 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.
 - d) Legal; Records that support an organization's business agreements and ownership rights, and document the rights of citizens.
 15. Access Rate after Closer. Indicate the time period a record is accessed after it is closed and/or finalized. If the record is accessed on an annual basis then indicate the number of time per year that it is accessed.
 16. Indicate when the record is no longer accessed in the space provided.
 17. Indicate whether the record is the Original, Primary, Secondary, or Back-up.
 - a) Original. The final version of a document, as opposed to the copies or the duplicates made of it
 - b) Primary. This is the agency's record used for its intended purpose and may be used by one or more agencies. The permanent or master copy is designated as the 'Primary Record,' while copies used by other agencies are secondary.
 - c) Secondary. Secondary records are used by other agencies in support of the primary record. They may also be used by other agencies for a use other than the use for which it was originally created, an example would be for historical research.
 - d) Back-up. A copy of a record maintained to protect the information from loss. They are included in or mandated by Continuity of Operation (COOP) and Disaster Recovery Plans. A back-up is typically an electronic record.
 18. If the Record is a Secondary Record, indicate the location of the Original/Primary in the space provided.
 19. Indicate the Record Series of the Original/Primary record in the space provided.
 20. Media Type. Place an 'X' in the box(es) that applies.
 21. Subject to Audit. Place an 'X' in the box(es) that applies. If other, indicate the type of audit required. Note: it is the responsibility of the Agency Records Officer and Authorized Agent to know which audits apply to their agency's records.

D. Section III: Records Retention Instructions.

'X' the box indicating the action requested:

1. Retain at Agency for: indicate the number of months/years the record will be maintained at the agency; then place an 'X' in the box indicating the next step in the record's life cycle:
 - a) Transfer to the State Records Center
 - b) Archives
 - c) Destroy
2. Retain at State Records Center for: indicate the number of months/years the record will be maintained at the agency; then place an 'X' in the box indicating the next step in the record's life cycle: (If necessary)
 - a) Archives
 - b) Destroy
3. Retain Original documents permanently at Delaware Public Archives. Place an 'X' in the box if the original documents are to be stored permanently at DPA.
4. Retain Copy of documents permanently at Delaware Public Archives. Place an 'X' in the box if a copy of the original document(s) is to be stored permanently at DPA.
5. Total Retention Time. Indicate the total length of time in the space provided for all non-permanent records.
6. Situational Retention Conditions: Indicate the conditions that effect the life cycle of the record.
Examples: (this is not a comprehensive list of all possibilities)
 - Retain at Agency Three Years; Successful Audit: destroy;
 - After case is closed; transfer to SRC for 60 Years; then transfer to Archives;
 - Retain at agency; successful audit. When no longer needed, transfer to Archives for permanent preservation.
 - Submit copy to Archives upon publication.
 - Retain at agency 3 years; destroy.

E. Additional Comments/Continuation page. Use this portion of the form to note comments that did not fit in other portions of the form or to clarify special instructions.

F. The Agency's Records Officer and the assigned DPA Information Resource Specialist (Analyst) will sign and date the bottom of the form after the record series collaboration is completed. In many cases, it may be necessary to complete several Retention Series Inventory forms when creating or updating a Retention Schedule. The head of the agency/director will approve the entire retention schedule once all the Records Series Inventory Forms are completed.

G. The DPA maintains a permanent copy of the approved Record Series Inventory Form and information used in its development.

II. Submission of the Record Series Inventory to the DPA.

After the form is completed and the Agency's Head/Director approves the newly created or updated retention schedule, the Record Officer of the Agency shall submit the Record Series Inventory Forms and the approved retention schedule form to their assigned DPA Analyst by Email.

Effective: June 3, 2013

References:

Delaware Public Archives [Forms and Users Guides](#)

Delaware Public Records Law: [Title 29 Delaware Code Chapter 5](#)

Delaware Public Archives [Information Resource Specialist \(Analyst\) Assignments](#)