

DELAWARE PUBLIC ARCHIVES
OPERATING POLICIES AND PROCEDURES

REVIEW PROCESS FOR DESTRUCTION NOTICES (DN)

I. DESTRUCTION NOTICES RECEIVED FROM STATE AND LOCAL GOVERNMENT AGENCIES

- A. Destruction Notice (DN) (Form RM5) is received by the Government Services unit.
- B. DN is reviewed and verified with agency retention schedule (series numbers, record titles/descriptions, and dates). If no series number is shown, the agency is contacted to make arrangements to schedule the record series. The DN is held, or voided and returned to the agency, until retention is developed.
- C. Any comments/questions are noted on DN and it is forwarded to Information Resources Specialist (IRS) for review.
- D. IRS reviews DN, verifies audit date, and contacts the agency to clarify any questions.
- E. State Archivist gives final approval for destruction.
- F. A copy of the approved DN is sent to the agency for their file.
- G. DPA makes destruction arrangements with the agency in one of the following ways:
 - a. The agency transports its records with approved DN to the State Records Center to be placed into its secure dumpster. When the dumpster is full the dumpster vendor picks up the records to be shredded confidentially. DPA staff sign and date the DN with the date on which destruction was completed and retain the DN on file. DPA absorbs the cost of the destruction, or
 - b. The agency disposes of the approved records itself, destroying confidential records confidentially and sensitive records in a secure manner. The agency is responsible for the cost. The agency returns a copy of the approved DN, showing the date on which destruction was completed and the signature of the person who carried out the destruction, to DPA to be retained on file.
 - c. (Deleted)

II. DESTRUCTION NOTICES CREATED FOR RECORDS STORED AT DPA

- A. DN created by Government Services unit per agency approved retention schedule, noting series number, title, description, date span of records, number of cubic feet, records center container numbers and any media identifiers (number of microfiche, film roll numbers, etc.).
- B. The DN is sent to the agency requesting its approval for destruction by the records officer/authorized agent. The records officer/authorized agent is required to approve the DN certifying that a successful audit of the records has been completed and that there are no pending legal actions related to the records being destroyed.

- C. The agency contacts DPA regarding the DN if agency disagrees with destruction of the records. If authorization for destruction is not given by the agency, a letter of explanation and the voided DN are returned to DPA to be retained on file until all outstanding issues are resolved. Once resolved, a new DN will be initiated and sent to the agency for review and approval.
- D. After 14 calendar days, if DPA has not received the DN from the agency certifying approval or disapproval of the destruction action, DPA contacts the agency for follow-up. At that time, DPA may make arrangements to return the stored records to the agency at the agency's expense.
- E. When the approved DN is returned, it is forwarded to the assigned IRS for review.
- F. IRS reviews DN; State Archivist gives final approval.
- G. A copy of the approved DN is sent to the agency, and the records are placed in the secure dumpster for destruction. When the dumpster is full, the dumpster vendor picks up the records to be shredded confidentially. DPA staff sign and date the DN with the date on which destruction was completed and retain the DN on file.

III. DESTRUCTION NOTICES CREATED FOR RECORDS THAT HAVE BEEN IMAGED

- A. When records have been imaged by an outside vendor, DN is created and reviewed by Records Services unit. Job numbers, roll numbers, number of fiche, and other media identifiers are verified. Prior to disposal of original records, images are reviewed for compliance with DPA imaging standards. When images do not meet standards, the agency and vendor are contacted to correct the problems before the DN is processed further.
- B. The DN is sent to the agency requesting approval for destruction by the records officer/authorized agent. The records officer/authorized agent is required to approve the DN certifying that a successful audit of the records has been completed; that the images have been verified; and that there are no pending legal actions related to the records being destroyed.

NOTE: If the records officer/authorized agent finds a problem with the imaged material, the vendor should be contacted immediately to have the problem corrected.

- C. After 14 calendar days, if DPA has not received the DN from the agency certifying approval or disapproval of the destruction action, DPA contacts the agency for follow-up.
- D. DN is forwarded to the IRS for review; State Archivist gives final approval.

Effective January 1, 1999
Revised October 15, 2003