

DELAWARE PUBLIC ARCHIVES
OPERATING POLICIES AND PROCEDURES

REVIEW PROCESS FOR TRANSFER DOCUMENTS (TD)

I. TRANSFER OF RECORDS FOR STORAGE

- A. The agency prepares its records according to the guidelines contained in “Preparation of Records for Storage”, a records management handbook published by Delaware Public Archives (DPA) and also available from the assigned Information Resources Specialist (IRS) at DPA.
- B. Transfer Document (TD) (Form RM3) (downloadable from www.state.de.us/sos/dpa) is completed electronically by the agency and submitted to DPA’s Government Services unit along with all electronic container checklists.
- C. TD is reviewed and verified with agency retention schedule (series numbers, record titles, descriptions, and dates). TD is forwarded to IRS.
- D. IRS reviews the information on the TD, contacting the agency to clarify and/or question any information on the TD. TD is also reviewed by DPA’s Records Services unit.
- E. DPA schedules the records for delivery to Archives. Alternative transfer methods should be discussed with the assigned IRS.
- F. Upon arrival at Archives, the containers are barcoded, entered into the inventory control database, shelved, and again scanned to add the shelf location to the database. The records center container barcode is listed on the TD in the appropriate space. A copy of the TD is retained by DPA and a copy of the TD is also sent to the agency for future retrieval of records transferred.

II. TRANSFER OF RECORDS FOR PERMANENT PRESERVATION

- A. The agency prepares its records according to the guidelines contained in “Preparation of Records for Storage”, a records management handbook published by Delaware Public Archives (DPA) and also available from the assigned Information Resources Specialist (IRS) at DPA.
- B. Transfer Document (TD) (Form RM3) (downloadable from www.state.de.us/sos/dpa) is completed electronically by the agency and submitted to DPA’s Government Services unit along with all electronic container checklists.
- C. TD is reviewed and verified with agency retention schedule (series numbers, record titles, descriptions, and dates). TD is forwarded to IRS.
- D. IRS reviews the information on the TD, contacting the agency to clarify and/or question any information on the TD. TD is also reviewed by DPA’s Records Services unit.
- E. DPA schedules the records for delivery to Archives. Alternative transfer methods should be discussed with the assigned IRS.

- F. Upon arrival at Archives, the containers are barcoded, entered into the inventory control database, shelved, and again scanned to add the shelf location to the database. The records center container barcode is listed on the TD in the appropriate space. A copy of the TD is retained by DPA and a copy of the TD is also sent to the agency as an audit trail for the records transferred.

III. TRANSFER OF RECORDS FOR IMAGING

NOTE: First point of contact for any imaging projects should be the assigned IRS.

- A. The agency prepares its records according to the guidelines contained in "Preparation of Records for Imaging", a records management handbook published by DPA and available from the assigned Information Resources Specialist (IRS) at DPA.
- B. Transfer Document (TD) (Form RM3) (downloadable from www.state.de.us/sos/dpa) is completed electronically by the agency and submitted to DPA's Government Services unit, after which it's reviewed by DPA's Records Services unit.
- C. When necessary, the IRS contacts the agency authorized agent/contact person to make an appointment to inspect the agency's prepped records.
- D. IRS reviews the records and the TD per the approved retention schedule, verifying authorized agent, record group number, series number, record titles/descriptions and dates. IRS also completes a "Records Inspection for Imaging" form during the inspection and, if approved, will assist the agency with scheduling the records for imaging by the state's contract vendors.

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