Disposal of Obsolete Unclassified Records

This document outlines the process to apply for bulk disposal of obsolete, unclassified records that are held in storage, exempting the agency from item level review of the records. The process includes four elements – Evaluation, Disposal Authorization, Disposal Application and Submission.

Evaluation

Evaluate the collection to determine if the records are eligible for this process. The records must meet the following criteria:

- ☐ The Records are held in an off-site storage facility and may be incurring storage fees.
- ☐ The Records are unclassified:
    - o No description or inventory information is available to enable classification of records.

      or
    - o Minimal description or inventory information is available but is insufficient to enable definitive classification of records.
- ☐ The records have not been retrieved in 10 years or more.

If the records in question meet all three criteria, proceed to the Certification Statement section below.

If the records do not meet all three criteria, contact your DORIS liaison or dorismrmd@records.nyc.gov. to inquire about an appropriate disposal process for your records.

Disposal Authorization

Certification Statement

Using the form provided by DORIS, prepare the Certification Statement. The certification statement must be signed by the Agency Head, General Counsel, and Division Head (if the records are known to belong to a particular division of the agency).

The certification statement attests that after the agency's due inquiry 1) the records are not known to be required to support business or operational needs and 2) the records are not known to be subject to audit, litigation, subpoena, or other legal demands.

The certification statement should list the most appropriate record series from the agency's retention schedule that can be determined to fit all the records in the request, given the information available. Sampling the set of unclassified records may be necessary to determine the appropriate series. For advice on relevant record series or developing sampling procedures, contact your DORIS liaison or dorismrmd@records.nyc.gov.

NYC Department of Records & Information Services

Obsolete Unclassified Disposal Process

After the certification statement is complete, prepare the Justification Memo as described below.

Justification Memo

The agency Senior Level Official overseeing Records Management should prepare a justification memo which will be submitted to DORIS with the disposal request documentation. The memo must include the following information:

- ☐ A brief statement on the known history of the storage and/or transfer of the boxes included in the request.
- ☐ A statement indicating that the boxes have not been retrieved for a period of 10 years or more.
- ☐ A statement of confidence that the records have limited informational value and are no longer required for operational use or legal obligations.
- ☐ A statement on the cost of continued storage for the records included in the request.

After the Justification Memo is complete, proceed to the Disposal Application process described below.

Disposal Application

Using the standard Records Disposal form provided by DORIS, prepare a disposal application for the records in question, listing the Record Series indicated on the Certification Statement. The set of obsolete unclassified records should be the only records listed on this disposal application. In the remarks field of the form, include a statement that the Certification Statement and the Justification Memo are attached to the disposal application. As always, the Disposal Application must be signed by the Agency Head (or designee).

Once the Disposal Application is complete, proceed to the Submission section below.

Submission

The following materials must be included in your submission to DORIS when applying for bulk disposal of obsolete unclassified records.

- ☐ Signed Disposal Authorization Documents
    - o Certification Statement
    - o Justification Memo
- ☐ Signed Disposal Application

Attach all materials to one email message and submit to disposals@records.nyc.gov.